
**FACULTY
HANDBOOK**

University of Alaska Anchorage

Published August 2008

INTRODUCTION

Welcome to the faculty of Alaska's largest, most diverse, and newest university. The University of Alaska Anchorage currently serves over 20,337 students at various South-central Alaska locations, including Kenai, Kodiak, Prince William Sound, Mat-Su, Chugiak-Eagle River, and Homer. These students study a broad array of programs, ranging from aviation technology to zoology. Some students take just a course or two, while many others are studying for certificates or undergraduate or graduate degrees.

To meet the needs of such a diverse student body, UAA employs a competent and dedicated faculty. This handbook has been designed to serve faculty as a concise reference source. It contains information about many topics relevant to campus administration and instruction. While the handbook is not intended to be a comprehensive statement of university policy, it provides many answers to questions of immediate concern to faculty and identifies offices to contact for more detailed information as necessary.

Comprehensive statements of university policy are contained in the Board of Regents' Policy and University Regulations which can be found online at www.alaska.edu/bor/policy-regulations/. A copy of each publication is available for review in the UAA libraries, as well. Most of the provisions of these documents are applicable to all University of Alaska employees, permanent and temporary alike. All faculty are encouraged to consult them as needed. Should a conflict arise between any statement made in this handbook and provisions contained in the University Regulations and/or the Board of Regents' Policies, the latter will prevail.

Wherever possible, information regarding the community campuses (Kenai Peninsula College, Kodiak College, Matanuska-Susitna College, and Prince William Sound Community College) has been provided. Specific details pertaining to facilities and services at the extended colleges may be found in the bulletin published at each college.

Supplemental sources of information recommended for faculty include the campus telephone directory, Academic Catalog, Class Schedule, Financial Aid Handbook, and Student Handbook. Those faculty members teaching classes in the Anchorage School District facilities will also find the ASD Policies and Procedures guidelines helpful.

The university community eagerly welcomes the UAA faculty members and hopes all faculty will enjoy a pleasant and productive academic year.

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CHAPTER I:

GENERAL

INFORMATION

FREQUENTLY CALLED NUMBERS**Executive Officers**

Fran Ulmer, Chancellor.....	61437
Michael A. Driscoll, Provost	
Office of Academic Affairs.....	61921
William Spindle, Vice Chancellor for	
Administrative Services	64620
Megan Olsen, Vice Chancellor for	
University Relations.....	61375
Linda Lazzell, Vice Chancellor for	
Student Affairs	66132
Renée Carter-Chapman, Vice Chancellor for	
Community Partnerships	66486

Schools and Colleges

College of Arts and Sciences	
James Liszka, Dean.....	61706
College of Business and Public Policy	
Elisha Baker, Interim Dean	64126
College of Education	
Mary Snyder, Dean	64484
College of Health and Social Welfare	
Cheryl Easley, Dean.....	64406
Community and Technical College	
Interim Dean Sandra Carroll-Cobb	66494
Chugiak-Eagle River	694-3313
Elmendorf AFB	753-0204
Ft. Richardson.....	428-1228
School of Engineering	
Robert Lang, Dean	61859
Kenai Peninsula College	
Gary Turner, Campus Director.....	262-0317
Kodiak College	
Barbara Bolson, Campus Director	486-1220
Matanuska-Susitna College	
Dennis Clark, Campus Director	745-9721
Consortium Library	
Stephen Rollins, Dean	61825

Academic Support

Consortium Library	61871
Educational Media Services	64466
Facilities Scheduling	61209
Faculty Governance.....	61945
Faculty Services	61063
Human Resource Services.....	64608
Information Technology Services	61880
Learning Resource Center	66828

CAMPUS DIVERSITY AND COMPLIANCE

The University of Alaska Anchorage is a community that cherishes free and open exchange of ideas in the pursuit of knowledge. In this exchange of ideas and pursuit of knowledge, the Office of Campus Diversity and Compliance

works with UAA departments to create an environment that is inclusive of and welcoming to all people.

The primary function of Campus Diversity and Compliance is to promote, support, measure and celebrate diversity at the campus level. The mission also includes support for the UAA Diversity Action Council and other programming events and activities that promote diversity on campus. While it is our legal responsibility to comply with applicable state and federal statutes and regulations, the pursuit of diversity and fairness is more importantly grounded in the educational goals of our institution. In addition to promoting diversity, Campus Diversity and Compliance is responsible for managing and coordinating University policies, procedures, and programs regarding equal opportunity and affirmative action.

SEXUAL HARASSMENT

Sexual harassment is contrary to our institutional goals. Incidences of sexual harassment impede educational opportunities and equal employment for all involved. According to University Regulation 04.02.02

info.alaska.edu/bor/regulation/4r/r04-02.html

Sexual Harassment includes, but is not limited to, unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature where:

- Submission to such conduct is made, either explicitly or implicitly, a term or condition of an individual's employment or education; or
- Submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting that individual; or
 - Such conduct has the purpose or necessary effect of unreasonably interfering with an individual's work or creating a hostile, intimidating or offensive working or learning environment; and
 - Such conduct is known by the offender to be unwelcome, harmful or offensive; or a person of average sensibilities would clearly understand the behavior or conduct is unwelcomed harmful or offensive.

Board of Regents Policy further states info.alaska.edu/bor/policy/4p/p04-02.html the University of Alaska will not tolerate inappropriate sexual or sexually harassing

behavior and seeks to prevent such conduct toward its students, employees and applicants for employment. Violation of this policy may lead to discipline of the offending party.

Some members of the university community hold positions of authority that may involve the legitimate exercise of power over others. It is their responsibility to be sensitive to that power. Faculty and supervisors in particular, in their relationships with students and subordinates, need to be aware of potential conflicts of interest and the possible compromise of their evaluative capacity. There is an inherent power difference in these relationships; the potential exists for the less powerful person to perceive a coercive element in suggestions regarding activities outside those inherent in the professional relationship.

CONSENSUAL SEXUAL RELATIONSHIPS

According to University Regulation R04.02.024 **Faculty-Student Relationships within the instructional context is considered a serious breach of professional ethics** for a member of the faculty to initiate or acquiesce in a sexual relationship with a student who is enrolled in a course being taught by the faculty member or whose academic work, including work as a teaching assistant, is being supervised by the faculty member.

Sexual relationships between faculty members and students occurring outside the instructional context may lead to difficulties, particularly when the faculty member and student are in the same academic unit or in units that are academically allied; relationships that the parties view as consensual may appear to others to be exploitative. Further, in such situations the faculty member may face serious conflicts of interest and should be careful to distance himself or herself from any decisions that may reward or penalize the student involved.

It is a violation of the ethical obligation to the employee or student, to other employees or students, to colleagues, and to the university for a staff member to fail to withdraw from participation in activities or decisions that may reward or penalize an employee or student with whom the staff member has or has had a sexual relationship. Consensual sexual relationships between supervisors and employees, including circumstances where a staff member has authority

or control over a student's living or learning environment, are prohibited.

Complaint Procedure

Complaints alleging a violation of the Consensual Sexual Relationships regulation will be handled in accordance with the regulation regarding sexual harassment.

Bargaining Unit Employees

If disciplinary action may result from an investigation of a bargaining unit employee alleged to have engaged in discrimination or sexual harassment, the employee has a right to union representation during an investigatory interview with the employee. Bargaining unit employees who have been disciplined pursuant to this regulation must resolve their disputes through the dispute resolution processes provided in their collective bargaining agreement.

Reporting Discrimination and Sexual Harassment

Individuals may come to Campus Diversity and Compliance to inquire about their rights, with regard to discrimination and sexual harassment policies, to request facilitation, file a complaint, or seek information about the application of policies to specific situations. When necessary, Campus Diversity and Compliance works in collaboration with other University departments to seek a fair and effective resolution with due regard to the importance of confidentiality.

RESOLUTION PROCESS

Informal Resolution Process

The purpose of informal resolution is to educate and inform individuals of their offensive behavior and to allow individuals the opportunity to voluntarily correct inappropriate behavior without disciplinary action. Informal resolution will not generally have as an outcome written reports or sanctions.

Formal Resolution Process

The formal resolution process is an administrative remedy which requires an investigation and written findings. One or two investigators will be designated to conduct a timely investigation to ensure an objective review of the allegations. The statements of the complainant, respondent and witnesses become part of a written record which will be used for administrative review and action as necessary.

Retaliation

Everyone has the right to complain about any conduct which they reasonably believe constitutes sexual harassment or discrimination. No university official may take disciplinary or other adverse action against a person who genuinely but mistakenly believes himself or herself to be harassed, even if the practices complained of do not, in fact, constitute sexual harassment. Threats or other forms of intimidation or retaliation against complainants, respondents, witnesses or investigators will constitute a violation of this regulation and may be subject to separate administrative action, including termination for cause.

Campus Resources for Faculty:

Campus Diversity and Compliance

www.uaa.alaska.edu/diversity

Administration Building Room 104

Phone/TTY: 786-4680

Fax: 786-4743

Human Resource Services

Administration Building

Phone: 786-4608

Fax: 786-4727

Dean of Students office (for student related inquiries)

Campus Center 204

Phone/TTY: 786-1214

Fax 786-1291

EQUAL OPPORTUNITY AND NON DISCRIMINATION

Just as sexual harassment impedes the educational and employment environment for all, discrimination also impedes the integrity and the educational mission of our campus community. UAA is committed to providing equal treatment and opportunity to all staff, faculty and students without regard to race, color, religion, national origin, citizenship, sex, age, disability, marital status, change in marital status, pregnancy, childbirth, or related medical conditions, parenthood, or veteran status except where distinction is required by law.

DRUG-FREE WORKPLACE**Regents' Policy 04.02.040**

The unlawful manufacture, distribution, dispensing, possession, or use by an employee of a controlled substance as defined in Schedules I through V of Section 202 of the Controlled

Substances Act (21 U.S.C. 812), and as further defined by regulation at 21 C.F.R. 1308.11 - 1308.15, is prohibited in any workplace of the university. All employees will abide by the terms of this policy as a condition of their employment and shall notify the university of any criminal drug statute conviction for a violation occurring in the workplace no later than five working days after the conviction. Within 30 days of receiving the notice of conviction, the university will take appropriate personnel action, as prescribed by regulation, against the employee, up to and including termination, or require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, local health, law enforcement, or other appropriate agency.

The university president will adopt and implement appropriate regulations to provide for publishing a statement to notify employees of this policy and to establish a drug-free awareness program to inform employees about the following: the dangers of drug abuse in the workplace; the university's policy of maintaining a drug-free workplace; any available drug counseling, rehabilitation, and employee assistance programs; and the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

Each employee will be provided a copy of this policy and accompanying regulation.

The Drug Free Schools Report contains the UAA alcohol and other drug policies, behavioral expectations for students and employees, disciplinary actions for violations of these policies, and resources available for assistance with alcohol and other drug issues. This report contains the physiological effects and risks and criminal penalties associated with alcohol and other drug use. This report may be obtained via the web at

www.uaa.alaska.edu/students/drugfreeschoolsreport.cfm

University Regulation 04.02.040

Policy 04.02.040 regarding a drug-free workplace prohibits the unlawful manufacture, distribution, dispensing, possession, or use by an employee of a controlled substance in any workplace of the university. The following steps will be taken to provide a drug-free workplace:

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- A. Each major administrative unit (MAU) will publish and distribute to all employees a statement notifying employees that the violation of such prohibition will subject them to appropriate disciplinary action.
 - B. Each MAU will establish a drug-free awareness program to inform employees about:
 - 1. The dangers of drug abuse in the workplace;
 - 2. The university's policy of maintaining a drug-free work-place; and
 - 3. The availability of drug counseling, rehabilitation and employee assistance programs.
 - C. Each employee will be responsible as a condition of employment to abide by the terms of this regulation and must notify the university of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction.
 - D. Within 30 days of the receipt of notice as prescribed in paragraph C above or other notification of such conviction, the university will take one of the following personnel actions:
 - 1. Require the employee to participate satisfactorily in drug abuse assistance or rehabilitation program approved by the university;
 - 2. Place the employee on suspension as prescribed by Regents' Policy regarding corrective action; or
 - 3. Dismiss the employee under the provision of Regents' Policy regarding termination for cause.

ALCOHOL POLICY

The primary objectives of UAA's policy and procedures on alcoholic beverages are detailed in the following list: a) to promote responsible behavior and attitudes among all members of the university community, b) to educate the university community concerning the use and effects of alcoholic beverages in order to promote responsible decision-making, and c) to help individuals experiencing difficulties associated with the use of alcohol. The Chancellor or the designee (Vice Chancellor of Student Affairs) has the authority to approve events where alcoholic beverages may be served to individuals of legal age with positive identification. Approval to serve alcoholic beverages will be granted on designated premises for private university-

sanctioned events for a limited period of time, whether they occur on or off campus. The sale of alcoholic beverages at university-sanctioned events on campus is not permissible and may not be approved by the Chancellor. Personal consumption, possession, or display of beer, wine or other alcoholic beverages is prohibited in university public places. The possession of kegs and other large quantities of alcoholic beverages will only be allowed by special permission of the Chancellor.

Any person who exhibits offensive behavior, misconduct, excessive noise, or creates a public disturbance on property owned or supervised by the university will be subject to disciplinary and/or legal action.

ETHICAL OBLIGATIONS

The Alaska Executive Branch Ethics Act (AS 39.52) and Regents' Policy and University Regulation governing outside activities and conflicts of interest (04.10.010 and 04.10.030) are applicable to faculty and all other employees of the University of Alaska. Policies and regulations require an affirmative action by the employee in reporting on an annual basis any outside income or activities. Contact the department chair or Human Resource Services as soon as possible to obtain the appropriate forms for reporting such activities. The "Ethics Disclosure Form" may be obtained at the Human Resource Services Office.

CODE OF ETHICS OF THE EDUCATION PROFESSION

All members of the teaching profession (as defined by A.S. 14.20.370 to include "instructors in institutions of higher learning") are obligated to abide by the code of ethics and the professional teaching standards adopted by the Alaska Professional Teaching Practices Commission. The code of ethics and teaching standards is published at section 20 Alaska Administrative code 10.020.

- A. The following code of ethics and professional teaching standards of the Professional Teaching Practices Commission governs all members of the teaching profession. A violation of this section constitutes grounds for revocation or suspension of certification as provided in AS 14.20.030.
- B. In fulfilling obligations to students, an educator should adhere to the following:
 - 1. May not restrain a student from independent action in the student's

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- pursuit of learning or deny the student access to varying points of view without reasonable cause;
 - 2. May not deliberately suppress or distort subject matter relevant to a student's progress;
 - 3. Shall make reasonable effort to protect students from conditions harmful to learning or to health and safety;
 - 4. May not engage in physical abuse of a student or sexual conduct with a student and shall report to the commission knowledge of such an act by an educator;
 - 5. May not expose a student to unnecessary embarrassment or disparagement;
 - 6. May not, on the grounds of race, color, creed, sex, national origin, marital status, political or religious beliefs, physical condition, family, social or cultural background, or sexual orientation, exclude any student from participation in or deny any student from participation in or deny any student a benefit under any program, nor grant any discriminatory consideration or advantage;
 - 7. May not use professional relationships with students for private advantage or gain;
 - 8. Shall keep in confidence information that has been obtained in the course of providing professional service, unless disclosure serves a compelling professional purpose or is required by law; and
 - 9. Shall accord just and equitable treatment to all students as they exercise their educational rights and responsibilities.
- C. In fulfilling obligations to the public, an educator should adhere to the following:
- 1. May not misrepresent an institution or organization with which the educator is affiliated;
 - 2. Shall take reasonable precautions to distinguish between the educator's personal views and those of any educational institution or organization with which the educator is affiliated;
 - 3. May not knowingly distort or misrepresent facts concerning educational matters in direct and indirect public expressions;
 - 4. May not interfere with a colleague's exercise of political or citizenship rights and responsibilities;
 - 5. May not use institutional privileges for private gain, to promote political candidates, or for partisan political activities; and
 - 6. May not accept a gratuity, gift, or favor that might influence or appear to influence professional judgment, nor offer a gratuity, gift, or favor to obtain special advantage.
- D. In fulfilling obligations to the profession, an educator should adhere to the following:
- 1. May not, on the basis of race, color, creed, sex, national origin, marital status, political or religious beliefs, physical condition, family, social or cultural background, or sexual orientation, deny a colleague a professional benefit, advantage, or participation in any professional organization, nor discriminate in employment practice, assignment, or personnel evaluation;
 - 2. Shall accord just and equitable treatment to all members of the profession in the exercise of their professional rights and responsibilities;
 - 3. May not use coercive means or promise special treatment in order to influence professional decisions of colleagues;
 - 4. May not sexually harass a fellow employee;
 - 5. Shall withhold and safeguard information acquired about colleagues in the course of employment, unless disclosure serves a compelling professional purpose;
 - 6. Shall provide, upon the request of the affected party, a written statement of specific reasons for recommendations that led to the denial of increments, significant changes in employment, or termination of employment;
 - 7. May not deliberately misrepresent the educator's or another's professional qualifications;
 - 8. May not submit fraudulent information on any document in connection with professional activities;
 - 9. May not knowingly distort an evaluation of the educator's or another's professional performance;
 - 10. May not intentionally make a false or malicious statement about a colleague's professional performance or conduct;
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11. May not intentionally file a false or malicious complaint with the commission;
12. May not seek reprisal against any individual who has filed a complaint, provided testimony, or given other assistance in support of a complaint filed with the commission;
13. Shall cooperate fully and honestly in investigations and hearings of the commission;
14. May not knowingly withhold or distort information regarding a position from an applicant or misrepresent an assignment or conditions of employment;
15. May not unlawfully breach a professional employment contract;
16. Shall conduct professional business through appropriate channels; and
17. May not assign tasks to unqualified personnel. (Eff. 1/30/75, Ref, 53; an 8/10/80, Reg. 75; an 6/16/84, Reg. 90; an 8/5/90, Reg. 115; am 7/21/91, Reg.119)

**MISCONDUCT IN RESEARCH,
SCHOLARLY WORK, AND CREATIVE
ACTIVITY IN THE UNIVERSITY**

Regents' Policy 10.07.06

The research, scholarship, and creative activity of the University of Alaska will be conducted in compliance with applicable laws and regulations. Instances of alleged or apparent misconduct in research, scholarly work, or creative activity will be promptly evaluated and resolved. Misconduct includes fabrication, falsification, plagiarism, or other practices that deviate from ethical standards and commonly accepted within the academic and scientific community for proposing, conducting, or reporting research, scholarly work, or creative activity. Unintentional error or good faith differences in analysis, interpretation, or judgments of data will not be considered to be instances of misconduct.

Appropriate disciplinary actions, including dismissal for cause, will be taken against any person who commits misconduct in research, scholarly work, or creative activity. An academic degree will be denied to someone who commits misconduct in scholarly work or creative activity if the misconduct contributed to that degree. When warranted, an earned degree will be revoked when misconduct is established after the award of the degree.

The President will promulgate regulations to provide an exclusive review process for investigating allegations of misconduct in research, scholarly work, or creative activities and for taking appropriate personnel action.

University Regulation 10.07.06

Note: This regulation is still under examination for other possible changes. Should there be a real or perceived conflict between it and current Regents' Policy, Regents' Policy will prevail.

A. Definitions

1. "Inquiry" means information gathering and initial fact-finding to determine whether an allegation or apparent instance of misconduct warrants an investigation.
2. "Investigation" means the formal examination and evaluation of all relevant facts to determine if misconduct has occurred.
3. "Misconduct" includes fabrication, falsification, plagiarism, or other practices that deviate from ethical standards and practices commonly accepted within the academic and scientific community for proposing, conducting, or reporting research, scholarly work, or creative activity. Honest error or honest differences in analysis, interpretation, or judgments of data will not be considered to be instances of misconduct. (06-21-96)
4. "University Resources" includes all funds, gifts, grants or contracts administered by the university; all applications for such funds, gifts, grants or contracts; and university facilities, equipment and personnel.

B. Inquiries

1. All allegations or other evidence of possible misconduct for the individual units shall be directed to the designated university officials for their respective units:
 - a. University of Alaska Anchorage – Provost;
 - b. University of Alaska Fairbanks – Provost;
 - c. University of Alaska Southeast – Dean of Academic Affairs and Graduate Studies; and
 - d. University of Alaska Statewide – Assistant Vice President for Academic Affairs.

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2. Upon the receipt of an allegation or other evidence of possible misconduct, the designated university official receiving the matter shall initiate an inquiry by advising the researcher accused of misconduct of the allegation or evidence and by appointing not less than three or more than five persons to conduct the inquiry. The persons appointed to the inquiry panel shall be generally knowledgeable in the subject matter of the type of research under review and shall be able to render an impartial judgment concerning the allegation.
 3. The inquiry panel shall, to the maximum extent possible, protect the privacy of those who in good faith report apparent misconduct and afford the affected individual(s) confidential treatment. The affected individual(s) shall be advised of all meetings of the inquiry panel, permitted to attend such meetings, accompanied by an advisor of his or her choosing, and offered an opportunity to comment on the evidence prior to the preparation of a report. An advisor shall be permitted to assist the affected individual(s); however, the advisor shall not be permitted to address the inquiry panel, unless, in the judgment of the panel, the opportunity of the affected individual(s) to present that person's case would be seriously affected by not permitting the advisor to speak.
 4. Within 60 days of the initiation of the inquiry, unless circumstances warrant additional time, the inquiry panel shall prepare a written report stating what evidence was reviewed, summarizing relevant interviews, and stating its conclusions. The individual(s) against whom the allegation was made shall be given a copy of the report and afforded not less than five (5) working days to respond. If the individual(s) responds in writing, that response shall be made a part of the record. If the inquiry exceeds 60 days, the report shall include an explanation for exceeding the 60-day period. The record of the inquiry shall be maintained by the designated university official for not less than three (3) years from its completion.
 5. If the inquiry panel determines that there is no reasonable likelihood that

misconduct has occurred, and the designated university official concurs in the determination, the matter shall be dismissed in writing by the designated university official.

C. Investigations

1. If the designated university official determines that the findings of the inquiry panel provide sufficient basis to conclude that there is a reasonable likelihood that misconduct may have occurred, an investigation shall be undertaken within 30 days of the completion of the inquiry.
2. The designated university official shall initiate the investigation by advising the individual of the decision and by appointing not less than five or more than seven individuals possessing appropriate expertise to conduct an evaluation of the evidence. Persons possessing a real or apparent conflict of interest shall not serve. The affected individual(s) shall be afforded not less than three (3) days after the appointment of the investigation panel to seek the removal of any panel member because of an alleged conflict of interest. Such request for removal shall be submitted to the designated university official who shall decide whether removal is appropriate.
3. The investigation will normally include examination of all documentation, including, but not limited to, relevant research data and proposals, publications, correspondence and memoranda of telephone calls. Whenever possible, interviews shall be conducted of all individuals involved, either in making the allegation or against whom the allegation is made, as well as any other individual(s) who might have information regarding key aspects of the allegations. The investigation panel shall make complete summaries of the interviews, provide them to the interviewed party for comment or revision, and include them as a part of the investigatory file. The affected individual(s) shall be advised of all meetings of the investigation panel and shall be permitted to attend such meetings, ask questions of persons being interviewed, present evidence and

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- testimony on his or her own behalf, and be accompanied by an advisor of his or her choosing. An advisor shall be permitted to assist the affected individual(s); however, the advisor shall not be permitted to address the investigation panel, unless, in the judgment of the panel, the opportunity of the affected individual(s) to present that person's case would be seriously affected by not permitting the advisor to speak.
4. Within 100 days of the initiation of the investigation, the investigation panel shall prepare a written report, stating how the investigation was conducted, how and from whom information was obtained relevant to the investigation, the findings, the basis for the findings, and the actual text or an accurate summary of the views of any individual found to have engaged in misconduct. This report shall include any comments of the affected individual(s) of the investigation, concerning the report.
 5. If the investigation panel determines that there is insufficient basis to determine by a preponderance of the evidence that misconduct has occurred, the matter shall be dismissed in writing by the designated university official. To the extent he or she can be identified, the person(s) who reported the allegation should be provided with the portions of the report that address his or her role and opinions in the investigation.
 6. In the event no misconduct is found, the designated university official shall initiate efforts to restore the reputation of the person(s) alleged to have engaged in misconduct. Such efforts shall include, where applicable, notification to all inquiry and investigation panel members, all persons who were interviewed in any proceeding, any person who filed an allegation of misconduct, and all other colleagues and journals whose research or publications were at issue in the course of the proceeding.
 7. If the investigation panel determines that a preponderance of the evidence supports a conclusion that misconduct has occurred, the designated university official shall recommend to the appropriate chancellor or president an appropriate sanction or discipline, which may include termination. The affected individual(s) shall be advised of the recommendation and shall be afforded an opportunity to indicate to the chancellor or president in a meeting or in writing, or both, why the proposed action should not be taken. The chancellor or president shall then finally determine the appropriate sanction.
- D. Notification of External Agencies
1. In cases where the alleged misconduct involves a research-related grant or cooperative agreement under the Public Health Services Act, the following notification shall be made:
 - a. The designated university official shall notify the Office of Scientific Integrity in the Office of the Director of the National Institute of Health within 24 hours of obtaining any reasonable indication of a possible criminal violation.
 - b. The designated university official shall notify the Director of the Office of Scientific Integrity of the decision to initiate an investigation on or before the date the investigation begins. The notification should include the name of the person(s) against whom the allegation(s) has been made, the general nature of the allegation, and the Public Health Service application or grant number(s) involved.
 - c. The designated university official shall keep the Office of Scientific Integrity apprised of any developments during the course of the investigation which disclose facts that may affect current or potential Department of Health and Human Services funding for the individual(s) under investigation or that the Public Health Services needs to know to ensure appropriate use of federal funds and otherwise protect the public interest.
 - d. The designated university official shall notify the Office of Scientific Integrity if the university plans to terminate an inquiry or investigation for any reason without completing all relevant requirements set forth in 42 CFR 50.103(d) by submitting a
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- report of such planned termination, including the reason for such termination.
 - e. The designated university official shall submit the final report of the investigation to the Office of Scientific Integrity within 120 days of its initiation. If the report cannot be completed within the time limit, the designated university official shall submit to the Office of Scientific Integrity a written request for an extension and an explanation for the delay that includes an interim report of the progress to date and an estimate of the date of completion of the report and other necessary steps to be taken.
 - f. The designated university official shall notify the Office of Scientific Integrity when the following is determined:
 - (1) There is an immediate health hazard involved;
 - (2) There is an immediate need to protect Federal funds or equipment;
 - (3) There is an immediate need to protect the interests of the person(s) making the allegation or of the individual(s) who is the subject of the allegation, as well as that person's co-investigators and associates, if any; or
 - (4) It is probable that the alleged incident is going to be reported publicly.
 - 2. In cases where the alleged misconduct involves awards from the National Science Foundation, the following notifications shall be made:
 - a. The designated university official shall notify the National Science Foundation immediately if an inquiry supports a formal investigation and shall keep the National Science Foundation informed during the investigation.
 - b. The designated university official shall notify the National Science Foundation when the following is determined:
 - (1) The seriousness of the apparent misconduct warrants notification;
 - (2) Immediate health hazards are involved;
 - (3) The National Science Foundation's resources, reputation, or other interests need protecting;
 - (4) Federal action may be needed to protect the interests of a subject of the investigation or of others potentially affected; or
 - (5) The scientific community or the public should be informed.
- E. General Provisions
- 1. Once an inquiry or investigation has been initiated, it is expected that it will be completed with all issues pursued diligently. A decision to terminate an inquiry of investigation short of a final determination may only be made by the appropriate chancellor or president.
 - 2. This Regulation constitutes the exclusive review process for matters of alleged misconduct in university research, and no decision arising from this regulation shall be subject to any other university review procedure, except for the discipline to be applied as a result of a finding of misconduct, which shall be subject to the appropriate Policy and Regulation.
 - 3. The designated university official shall take such administrative action during a pending inquiry and investigation as may be appropriate to protect university resources.
 - 4. Any person who in good faith alleges misconduct by another person shall not be subject to retaliation either by the university or by the person against whom the allegation is made. Allegations of misconduct not made in good faith shall subject the person making the allegation to disciplinary action. (01-01-90; 02-17-95; 06-21-96)

GRIEVANCES/ACADEMIC DISPUTES

UAA has separate and distinct processes for handling grievances (complaints or disputes arising out of the possible misapplication, misinterpretation, or violation of university policy or regulation or an abuse of discretion) and academic disputes (disputes concerning the assignment of a grade or other determination related to a student's academic status). The handling of grievances is governed by Regents' Policy and University Regulation 04.08. Student academic disputes are handled through the UAA Academic Dispute Resolution Procedure, which is published in the catalog and the Fact Finder student handbook on the web at www.uaa.alaska.edu/studentaffairs/fact-finder.cfm

INSTRUCTIONAL INFORMATION

Standards of Instruction and Contact Hours

Academic standards are established by the faculty and are reflected in the design of each class and learning experience. In general, the measure of course work, the credit hour, is defined at the University of Alaska as approximately fifteen hours of lecture instruction, including exams. In addition, the student is expected to spend twice this amount of time in outside preparation. Thus, classroom instruction for a three-credit course would be forty-five hours, and the student is expected to spend an additional ninety hours in outside preparation. Most lecture/discussion courses require a minimum of 750 minutes of contact time and a minimum of 1500 minutes completed outside the classroom to award one (1) credit each week.

One (1) contact hour is defined as 50 minutes of contact time. Courses scheduled for less than a full semester may not be offered for more than one (1) credit each week.

One Continuing Education Unit (CEU) may be granted for satisfactory completion of 10 contact hours of classroom instruction or for 20 contact hours of laboratory or clinical instruction.

Alternative learning modes are subject to the instructional objectives and outcomes of comparable, traditionally taught courses, but contact hour standards may differ.

Contact hours are expressed in the course descriptions of individual courses by the expression "x + y" where x equals the course's

lecture contact hours per week and y equals the course's lab contact hours per week. Contact hours are calculated based on a fifteen-week semester. All courses must meet for 15x + 15y, regardless of the amount of weeks in which the course is offered.

Course Content

A course content guide will be provided to the faculty by the department chair for the appropriate course the faculty member is scheduled to teach. It is the intent of the university to provide an up-to-date, relevant curriculum. Faculty should discuss proposed new courses or curriculum changes with the department chair or extended campus director.

Course Syllabus

A course syllabus will be given to each student at the first class meeting. The syllabus shall explain the teacher's expectations of students, the grading criteria that will be followed, the extent of the material to be covered, the class objectives and student learning outcomes, the attendance policy, and a bibliography.

Course Performance

Successful performance in individual courses contributes to overall satisfaction with the educational experience at UAA and ultimately will provide for successful completion of a course of study or degree.

Faculty members design course activities that assist students to acquire, comprehend, and apply knowledge and skills in a variety of subject areas. The course syllabus is designed to provide information about the structure of the course and methods of determining successful course completion.

In order to evaluate student learning, grades are assigned by faculty to individual students that indicate achievement of course objectives. Student behaviors such as class attendance, class participation, completion of all assignments, and achievement of passing marks on all graded activities are the foundation for the success of the student.

Class Attendance

Regular attendance and active participation are expected in all classes. Students are responsible for class work even if there are legitimate reasons for their absence.

Unexcused absences may result in a student receiving a failing grade. Unreasonable refusal to accommodate an emergency absence or an official university absence as described below may be appealable under the Academic Appeals Process.

Official University Absences

Students participating in official intercollegiate activities on behalf of UAA, including but not limited to competition in athletics, forensics and performing arts, are responsible for making advance arrangements with faculty members to enable them to meet course requirements. Faculty are encouraged to make reasonable accommodations for such students. In some cases, accommodation may not be possible.

Student-Initiated Drop or Withdrawal

Students may drop a class according to the information found in the published class schedule each semester. Deadlines are determined by the start date of the class and usually occur within the first two weeks of class (for Fall and Spring semesters), prorated for shorter semesters. There is a fee for this option, and no grade will be issued for classes dropped by the deadlines.

After the deadline for dropping a class, students may withdraw from the class through the twelfth week of class (for Fall and Spring semesters), prorated for shorter semesters. This will produce a designation “W” for the course on the cumulative transcript. After such a withdrawal, an academic grade for the course may only be obtained by retaking the course. No tuition or fees are returned to students who withdraw from a class.

Faculty-Initiated Drop or Withdrawal

A faculty member may initiate a drop or withdrawal from a class of a student who fails to meet published individual course requirements (see next paragraph). A student who fails to attend class within the first seven (7) calendar days of the semester is also eligible for this action. The deadlines for faculty-initiated drop or withdrawal are the same as for student-initiated drop or withdrawal.

The requirements which a student must meet include all catalog pre- or co-requisites for the course, as well as other registration restrictions. Faculty may initiate a withdrawal for a student in audit status for a class according to criteria for audit status distributed in the class syllabus.

Faculty are not obligated to initiate drops or withdrawal for any reason. Students who need to be excused from first-week attendance must contact the faculty member and receive permission before the first class meeting of the semester.

Class Rosters

Generally, faculty can access class rosters of the registered students on demand through UAOnline. If a student's name does not appear on the printout, please direct that student to the Office of the Registrar to correct the error. A student should not be allowed to attend class if his/her name does not appear on the roster by the third week of class. Being properly registered is the student's responsibility.

Each class roster should be checked carefully to verify the accuracy of the class meeting information (course number, meeting time, room location). If any of this information is incorrect, contact the curriculum office at each campus to have the problem corrected.

Under no circumstances should copies of class rosters be given to students. These rosters are confidential documents covered by the Family Educational Rights and Privacy Act. This act, better known as the Buckley Amendment, provides for access to student records and confidentiality of those records on a need-to-know basis, providing no information is released to a third party. All requests for access to a student's records must be made to the Office of the Registrar on the Anchorage campus or to the director at each extended college.

Final Examinations and Papers

Specific instructions for students regarding the return of their final exams/papers should be listed on the course syllabus. Students should:

- Provide the instructor with a self-addressed, stamped envelope or postcard in order to receive final exam/course grade in the mail.

Student Evaluations of Faculty

Student evaluations of faculty are conducted each semester using the online tool IDEA (Individual Development and Educational Assessment). Evaluations may not be reviewed by the faculty or department until after the end of the semester. At that time, the faculty will receive electronic results which will also be sent to each dean's or extended college director's office and will be

placed in the faculty member's evaluation file. Evaluation results are also available in the Consortium Library, the Learning Resource Center, the Student Government Office, and at the extended colleges.

ENROLLMENT MANAGEMENT

Enrollment Management is the doorway through which most students enter the university. They welcome new students and give assistance in the admission and registration process, while providing continuing students with services from registration through graduation.

In Anchorage, this office is known as the One-Stop Student Service Center and is located at the University Center situated on the East side of the Old Seward Highway, just south of 36th Avenue. Office hours during the Fall and Spring semesters are 8:00 a.m. to 6:00 p.m., Monday through Thursday and 8:00 a.m. to 5:00 p.m. on Friday.

The University Center Kiosk is the entrance to Enrollment and Financial Services. Staff are available from 8:00 a.m. to 6:00 p.m., Monday through Thursday, and 8:00 a.m. to 5:00 p.m. on Friday. Faculty or staff wishing to drop off documents or to meet with an employee must check in at the Kiosk.

The Enrollment Management Division is responsible for new student recruitment, admission, international student coordination, National Student Exchange (NSE), and study abroad programs. The Office of the Registrar is responsible for transfer credit evaluation, registration, enrollment certification, degree certification and transcript services, Veteran Services and Student Financial Aid. The division also schedules facilities, publishes the academic catalog and electronic semester class schedule, and provides training for the Banner Student module.

Other Enrollment Services

Students and prospective students are invited to call (907) 786-1480 or visit the One-Stop center in the University Center for general information. Services and programs coordinated through Enrollment Management include:

- Academic petition
- Admission advising
- Admission processing
- Application for graduation
- Campus tours

- Chancellor's and Dean's lists
- Change of student name, ID, or address
- Electronic Class Schedules
- Course catalogs
- Directed Study
- Enrollment certification
- Financial Aid
- Grades and Change of Grades
- Grants
- Independent Study
- Documentation services for F-1 and J-1 student visas
- National Student Exchange Programs
- Sponsorship of Alaska Career and College Fair, Counselor Day and other outreach activities for prospective students
- Student Ambassador Programs
- Military Education evaluations
- Registration by Proxy
- Scholarships
- Secondary school student enrollment
- Veteran Services
- Transcripts
- Transfer credit evaluation

Open Enrollment

UAA's open enrollment policy allows students to be admitted as non-degree students and register for courses for which they have adequate background. To qualify for open enrollment, a student must: 1) have earned a high school diploma or the equivalent (GED) or 2) be 18 years of age or 3) qualify under special university programs.

UAA's open enrollment policy does not guarantee subsequent admission to certificate or degree programs. In addition to meeting the university's open enrollment criteria, applicants for admission to a certificate or degree program may need to satisfy other individual program or degree level requirements.

Academic Advising

The goal of academic advising is to assist students in developing educational plans consistent with career/life goals and to provide students with the information and skills needed to pursue those goals. It not only involves telling students what they need to know, but also aims at enabling them to find things out for themselves. The university knows that academic success is often greater when students and their advisor share a good working relationship. It is important

to know who your advisor is and to seek advice often, rather than meeting only when problems arise.

Departmental Advising

At UAA, admitted students with a declared major are assigned to a faculty advisor within the academic department offering the major. The advisor can guide the student on University policies and procedures, general and degree requirements, and career options associated with the field. The Certificate of Admission lists the location and phone number to contact to set up an appointment with a faculty advisor. Some departments also send students a welcome letter with the notification of the advisor's name. All students have the right to high quality academic advising, and the university has an obligation to ensure that academic advising is available to all students. Academic advising is generally not mandatory. Students are strongly encouraged to utilize advising and are responsible for seeking advising.

Advising and Testing Center

The Advising and Testing Center, a unit of Student Affairs, provides multiple services for undeclared majors seeking the bachelor's degree, students seeking the Associate of Arts degree, non-degree seeking students and prospective students considering enrollment at UAA. Services include dissemination of a wide range of information about UAA academic offerings, programs and resources. Academic advising is provided by full-time, professional Student Services staff who are specialists in student development, career exploration and academic advising and support. Testing and assessment services are offered, such as placement testing, i.e. Accuplacer, CLEP and DANTES and other computer based exams required for licensure, certification and admission into professional programs. For further information, and help with scheduling an appointment, call (907) 785-4500. You may also access information at the following address: www.uaa.alaska.edu/advising-testing/. Email questions can be submitted directly from the website.

Personal Counseling

Personal counseling services are available for students through the Dean of Students Office, the Student Health and Counseling Center, and the Psychological Services Center. The Student Health and Counseling Center provides

counseling for eligible students and medication if needed to treat depression, anxiety, and other mental health disorders. These services are designed to assist students in addressing difficulties that may be blocking their potential for academic success. Students requiring long-term counseling services are referred to appropriate providers outside the university.

Disability Support Services

Disability Support Services provides academic accommodation for students who experience disabilities. Services include but are not limited to: American Sign Language interpreters, note taking assistance, testing adjustments, alternate format course materials, and adaptive technology. The department also provides workshops on a variety of topics and coordinates awareness building opportunities within the community. For additional information, go to Rasmuson Hall 105, call 907- 786-4530 (v/tty), e-mail aydss@uaa.alaska.edu, or visit the website: www.uaa.alaska.edu/dss.

Student Behavioral Issues and UAA Student Code of Conduct

A small number of students have difficulties balancing life issues with their academic pursuits. Student Success Counselors housed in the Student Health and Counseling Center offer consultations and support to faculty who have students in crisis or disruptive students in their classes. Contact 907- 786-6158 to make an appointment to consult with a Student Success Counselor. While life issues may be challenging, students are required to maintain their behaviors in compliance with the UAA Student Code of Conduct while attending UAA. Faculty members are encouraged to contact the Dean of Students Office at 907-786-1214. The UAA Student Code of Conduct may be found in the UAA [Fact Finder](#) student handbook on line at www.uaa.alaska.edu/deanofstudents/StudentJudicialServices/code.cfm

For immediate emergencies concerning student behavioral issues that are deemed dangerous or threatening, contact the University Police at 907-786-1120 from off campus telephone or 6-1120 from a campus telephone.

Student Health and Counseling Center

The Student Health and Counseling Center (SHCC) is an outpatient facility for UAA students that provides diagnosis and treatment of episodic illnesses (i.e., respiratory, infections,

streptococcal pharyngitis), health education and promotion, physical examinations, family planning, women's annual examinations, diagnosis and treatment of sexually transmitted diseases, mental health services, immunizations, laboratory services, dispensing of prescription medications, as well as other health related services and anticipatory guidance. The center is staffed by advanced nurse practitioners. The primary goal of the Center is to help students maintain their physical and mental health and to provide information and education regarding health and wellness. The SHCC is located in Rasmuson Hall and provides services for students who are currently enrolled in six or more UAA academic credits and who have paid the SHCC fee. For more information, please call the information and appointment line at (907) 786-4040 or visit the following web address: www.uaa.alaska.edu/studenthealth.

Testing and Assessment Services

The Advising and Testing Center supports many of the testing needs of the university and also serves the community as a testing site for most of the national testing programs which are used for admission into graduate and professional schools, gaining college credits, and validating standards for professional licenses and certification. Placement testing, administered through the use of Accuplacer, is offered to new students to identify skill levels in English and Mathematics in those situations when placement cannot be determined using ACT or SAT scores. The administration fee for Accuplacer is \$10.00 each time the student tests. Students may take an Accuplacer twice in one semester, but no sooner than two days after the previous test. Accuplacer results help the advisor and students plan a selection of courses appropriate to the student's skills levels. Other assessments are available to help students identify a career focus and select a compatible major. Testing services, such as proctoring correspondence and other exams, are also available. Testing and Assessment Services is located in the Advising and Testing Center, 110 University Center. Further information can be viewed at the website at www.uaa.alaska.edu/advising-testing/ or by calling (907) 786-4500.

Career Services Center

The Career Services Center (CSC) provides a number of excellent career related services and resources, including academic student internship

opportunities. The Center houses career related books in its lending library, covering subjects such as how to write a résumé, interviewing skills, where jobs can be found, and how to prepare for a chosen career. Students and alumni can register on-line to review hundreds of current job and career opportunities, post their resumes, and establish an on-line credential files for employers to review. Other resources include a mentoring program, videos, college catalogs, and a variety of handouts to assist students on a career path or job search. Books may be checked out for a period of seven days with a Wolfcard or MOA library card. CSC also provides individual and group career counseling, a videotaped mock interview program, résumé assistance, workshops, and campus and community presentations. The center also hosts many well-known local and national employers for on-campus recruiting. CSC has several computers equipped with the AKCIS program, which is a self-directed computer program developed to assist the user in exploring career, financial, and educational information.

The Career Services Center is open Monday through Friday all year. For further information, call the Center at (907) 786-4513 or visit the web site at www.uaa.alaska.edu/careerservices/ or stop by Rasmuson Hall, Room 122.

Student Internship Services

Student internships are a unique form of education, which integrate academic programs with paid, planned, and supervised work experience, allowing the student to earn elective credit and a wage. Applied academics allow students to test classroom skills in a professional setting and explore career opportunities. For more information on student internships, students may register on-line at www.uaa.alaska.edu/careerservices/ or call the Career Services Center at (907) 786-4513.

AHAINA

The name AHAINA is an acronym for African-American, Hispanic, Asian, International and Native American. AHAINA's motto is "Goals, Grades, and Graduation". AHAINA provides resources, academic assistance and intervention to students of diverse ethnicities. AHAINA's objective is to assist AHAINA students in successfully achieving their academic goals by providing services that promote academic achievement, affirm cultural differences and

enhance student retention. AHAINA Student Programs is located in Rasmuson Hall, Room 106. For additional information please visit the website: www.uaa.alaska.edu/multicultural or call (907) 786-4070.

Native Student Services

Native Student Services (NSS) serves as a stepping stone for Native and rural students. In providing high quality services, NSS assists these students in their transition to the university. NSS offers outreach to rural Alaska and collaborates with rural high schools in addressing the needs of UAA students from rural Alaska. NSS offers a student Tutor/Mentor program which assists students in a number of academic areas, provides an Off-campus Outreach and Orientation (Triple-O), a lounge area for study groups, tutoring, peer mentoring, leadership opportunities, community-building, and cultural programming. A 10 station student computer lab is also in the lounge. NSS is located in Rasmuson Hall, Room 108. For more information call 907-786-4000 or visit the NSS website at www.uaa.alaska.edu/nss

New Student Recruitment

The Recruitment Team coordinates the recruiting efforts of the campus, providing university-wide information to prospective students. They organize prospective student events, provide campus tours, and attend college fairs and high school visits.

New Student Orientation (NSO)

New Student Orientation (NSO) is a program specifically designed with the needs of new students and their families in mind. During summer orientation programs, students and their support networks have the opportunity to meet other new students and families; interact with current students, faculty, and staff; receive information about University life; build collegiate academic skills; and relieve common anxieties about starting college in the fall.

During the school year, the NSO program personnel organize a variety of activities and events for students around campus and continue to assist them in their successful transition to college during that critical first year.

For more information, visit the NSO website at www.uaa.alaska.edu/orientation/ or call us at 907-786-1224.

Admission

Students who wish to earn certificates, associate, baccalaureate or master degrees must apply and be formally admitted to the individual programs. To be eligible for graduation, a student must be formally admitted for a minimum of one semester prior to applying for graduation.

Students who intend to seek a degree should apply for admission. This will assist the department in tracking the number of students in their program and will promote students receiving valuable academic advising.

Registration

Registration can be conducted through on-line Web Registration before the beginning of each semester. Registration is available to all students who attended the previous semester or who have submitted a completed UAA Registration Access Form. Registration is available during the dates listed in the electronic class semester schedule. The UAA Registration Access Form allows prospective students access to register for courses under UAA's Open Enrollment Policy. However, it does not constitute formal admission to any of the degree/certificate programs offered at UAA.

For fall and spring semesters, a two-week late registration and add/drop period begins on the first day of the semester. Registration for semester-length classes is not allowed after week two of the semester. Even if a student has been attending class from the beginning of the course, his/her registration will not be accepted after the late registration deadline. Students are not officially registered until all fees are paid. The University holds students academically and financially responsible for their registration. After registering, if a student changes plans or becomes unable to attend, the courses must be dropped or withdrawn within published deadlines in order to avoid a final grade of 'F' for non-attendance. The courses must be dropped within the 100% refund period to avoid tuition and fee assessment. Refer to the academic calendar published each semester in the Class Schedule for specific deadlines.

Students may adjust their schedules and add/drop courses throughout the late add/drop period. Dropping or auditing courses may affect eligibility for future financial aid. Financial aid students should check with the UAA Office of

Financial Aid before dropping or auditing a course.

All students are encouraged to meet with a faculty advisor prior to each semester; however, the primary responsibility for meeting University requirements is the student's. Non-credit and Continuing Education Unit courses have special registrations. Contact the Community and Technical College for more information about these courses.

Faculty Signature

Some course descriptions include "Permission of Instructor" as a prerequisite. Students must obtain the permission of the faculty member instructing the course section or his/her designee before registering. The faculty member may provide this permission by signing the add/drop form or by providing it directly within the UAOnline system, allowing the student to register, utilizing the electronic registration system.

Prerequisites

Students are responsible for checking to make sure prerequisites have been met. Prerequisites are listed in individual course descriptions in the catalog and each schedule. If a student has not taken and passed the necessary prerequisites, but feels confident about performing the course work, the student may request permission from the instructor of the course to enroll in the class. An instructor withdrawal may be initiated for those

students who enroll without either prerequisites or instructor permission.

Repeating Courses

Some courses may be repeated for additional credit(s) if this option is stated in the course description. All courses may be repeated for student GPA improvement. Previous courses and grades will remain on the student's transcript, but only the credits and last grade earned are applied toward graduation requirements and calculated in the student's cumulative UAA GPA. The Credit/Non Credit grading option cannot be selected when courses are repeated for GPA improvement. Students may not repeat a course by credit-by-exam, by correspondence, or through work at another college or university for the purpose of raising their grade point average at UAA. To determine eligibility for graduation with honors, all credits and grades from repeated courses are included in GPA calculations.

Registration Updates

Refer to the academic calendar published each semester for specific deadlines. **Deadlines for courses more or less than semester length (15 weeks), or taught in a trimester schedule are prorated according to the length of the course. Students are not permitted to drop or withdraw from a course(s) after it has ended.** A signature block is provided on add/drop and registration forms specifically for faculty use to facilitate the processing of the student transaction.

<i>Desired Change</i>	<i>Week 1 of Semester</i>	<i>Week 2 of Semester</i>	<i>After Week 2 of Semester</i>
ADD / DROP REGISTRATION	Faculty signature required if course closed.	Faculty signature required.	Not permitted.

Drop/Withdrawal Policy is currently tentative. Please see Class Schedule for specific dates.

<i>Desired Change</i>	<i>Begin 7th calendar day of Semester through Week 2 of Semester</i> DROP	<i>Weeks 3 through 12 of Semester</i> WITHDRAWAL	<i>After Week 12 of Semester</i>
FACULTY INITIATED DROP OR WITHDRAWAL (OPTIONAL)	Form filed by faculty member with the Office of the Registrar. Course will not appear on student's transcript.	Form filed by faculty member with the Office of the Registrar. Course will appear on student's transcript with a grade of "W."	Not permitted.

<i>Desired Change</i>	<i>Weeks 1 through 2 of Semester DROP</i>	<i>Weeks 3 through 12 of Semester WITHDRAWAL</i>	<i>After Week 12 of Semester</i>
DROP OR WITHDRAWAL	No faculty signature required. Course will not appear on student's transcript. <i>Students are not permitted to drop or withdraw from a course after it has ended.</i>	No faculty signature required. Form filed with Enrollment Services. Courses will appear on student's transcript with a grade of "W."	Not permitted.

<i>Desired Change</i>	<i>Weeks 1 through 2 of Semester DROP</i>	<i>Beginning Week 3 of Semester WITHDRAWAL</i>	<i>Beginning of Final Exam Week</i>
TOTAL WITHDRAWAL FROM UNIVERSITY	No faculty signature required. Form filed with the Office of the Registrar. Courses will not appear on student's transcript. <i>Students are not permitted to drop or withdraw from a course after it has ended.</i>	No faculty signature required. Form filed with the Office of the Registrar. Courses will appear on student's transcript with a grade of "W."	Not permitted.

Add Policy

Students may add semester-length classes through the end of the second week of classes for 15 week courses. Adding a "closed" class during the first week requires a faculty signature. Faculty signature is required for all classes during the second week. The timeline to add courses of length other than 15 weeks or trimester courses is prorated accordingly.

Drop Policy

Students may drop semester-length classes during the first two weeks of the semester without faculty signature. During this time, drops are not reflected on the students' official transcript.

Secondary School Student Registration

An under-age student is one who is under 18 years of age but at least 14 (for students under 14 see Under Age Policy in the Catalog) and does not otherwise meet the requirements for open enrollment or admission. In order to register for university courses, each semester secondary school students must:

- A. Qualify under a special university program;
- B. Complete the UAA Secondary School Student Signature Form. This form may be obtained from the web or at the One Stop Center and requires approval and signatures of the student's parent or guardian, school principal and/or counselor, UAA course faculty member(s), and the approval of the Office of the Registrar

C. Or when the student wishes to enroll at an extended college, the director of that college. Please note that all signatures must be obtained prior to submitting the form to the Office of the Registrar or director of an extended college.

- Secondary School students may enroll in a maximum of seven credits per semester.
- They are required to pay the mandatory student fees.
- A parent, guardian, or other individual registering for a secondary school student must present a signed Proxy for Registration Form signed by the student or some other written, signed authorization. This form is available on the web or from the One-Stop Center.
- The faculty member's signature on the Secondary School Student Signature Form only indicates approval for a secondary school student to attend the course and does not guarantee admittance into a closed (full) class.

Withdrawal Policy

The withdrawal period begins the third week of the semester. Students withdrawing from classes during weeks 3 through 12 do not need faculty signature. Courses will appear on the student's official transcript with a grade of "W". After week 12, individual course withdrawals are not permitted. Within the appropriate deadlines, a faculty member may initiate a drop/withdrawal

for students who fail to meet individual course attendance requirements; however, the faculty member is under no obligation to do so. Students may withdraw from all of their classes, provided they do so before the first day of finals.

Grading

The university's grading system is described in the academic policies section of the current catalog. Criteria for grading should be clearly explained, preferably in writing, at the first class session.

Academic Letter Grades

- A** Honor grade; indicates comprehensive mastery of required work.
- B** Indicates high level of performance in meeting course requirements.
- C** Indicates satisfactory level of performance.
- D** Lowest passing grade; may not be acceptable to satisfy requirements in certain majors and graduate programs.
- F** Indicates failure.

With the exception of letter grades assigned to 500-level courses, these letter grades carry grade points and are used to calculate GPAs.

Non-academic Grades

- CR** Indicates credit received for course.
- NC** Indicates no credit received for course.
- DF** Deferred; temporary grade which indicates course requirements cannot be completed

by end of semester. It is to be used for courses which can not normally be

completed in a semester, such as thesis, project, research courses, internships, etc.

- I** Incomplete; temporary grade that indicates additional course work must be completed to receive final grade. If the course work is not completed within one year and the faculty member does not submit a change of grade at that time, the "I" (incomplete) will become a permanent grade.
- P** Indicates passing work.
- NP** Indicates work that is not passing.

These grades do not carry grade points and are not used to calculate GPAs. However, CR, NC, P, and NP grades may be used to determine satisfactory academic progress.

Other Designations

- AU** Audit; indicates enrollment for information only; no credit received.
- W** Indicates withdrawal from course.

These designations do not carry grade points and are not used to calculate GPAs.

Change in Grading Option

The grading option for a course may only be changed as follows:

<i>Desired Change</i>	<i>Weeks 1 through 2 of Semester</i>	<i>Weeks 3 through 12 of Semester</i>	<i>After Week 12 of Semester</i>
CREDIT/NO CREDIT	Form filed with the Office of the Registrar.	Not permitted.	Not permitted.
CREDIT TO AUDIT		Faculty signature required. Form filed with the Office of the Registrar	Not permitted.
AUDIT TO CREDIT	Faculty signature required. Form filed with the Office of the Registrar.	Not permitted.	Not permitted.

Incomplete

An "I" (Incomplete) is a temporary grade. It is used to indicate that a student has made satisfactory progress in the majority of the work in a course, but for unavoidable absences or other conditions beyond the control of the student, has not been able to complete the course. The Incomplete Grade Contract, a signed contract form between the student and the faculty member that stipulates the assignment(s) required to finish the course, is required and must be completed for each "I" grade assigned. The contract is to be maintained in the department or dean's office. Course work must be completed by a date specified in the contract, not to exceed one year. Upon completion of the required course work, the faculty member must submit a change of grade form, accompanied by a copy of the incomplete grade contract, to Enrollment Services. If course work is not completed within one year or if the terms specified on the Incomplete Contract are not met, the student may be assigned a failing grade (F or NP, depending on the grading basis of the course). If course work is not completed within one year and the faculty member does not submit a change of grade at that time, the "I" will become a permanent grade, and it will be necessary for the student to repeat the course to obtain credit for the course.

Deferred Grades

A "DF" (Deferred) is a temporary grade. It is used to indicate that the course requirements cannot be completed by the end of the semester. It is to be used for courses which can not normally be completed in a semester, such as thesis, project, research courses, internships, etc. Credit will be withheld, without academic penalty, until the course requirements have been met. If course work is not completed prior to applying the course towards a graduation requirement, the "DF" will become a permanent grade, and it will be necessary for the student to repeat the course to obtain credit for the course.

Credit/No Credit (CR/NC)

Credit/No Credit is a grading option that encourages students to explore areas of interest. Undesignated electives may be completed under this option. A maximum of fifteen (15) credits earned by this option may be applied to an Associate or Baccalaureate degree.

This option may not be used in courses that meet General Education Requirements (GER) or major or minor requirements in a student's program. If students later change their major/minor, and the course becomes a requirement, the course may be accepted in the new major/minor at the discretion of the new department.

The CR/NC option is not available for graduate courses, nor can this option be used on courses repeated for GPA improvement.

The instructor grades students using the grading basis approved for the course (A-F or P/NP). Students are awarded credit for the course if their final grade is "P" or "C" or higher. A grade of "CR" is entered on the student's transcript. If performance falls below that level ("D", "F", "NP") the student will be automatically withdrawn from the course.

For performance comparison only, a grade of "CR" (Credit) is considered equivalent to a grade of "C" or higher. A grade of "CR" does not carry grade points and is not included in GPA calculations.

Through the end of week two (2) of the semester, students may request the CR/NC grading option by submitting the necessary paperwork to Enrollment Services. Once selected, this grading option may not be changed to regular grading after the end of week two (2) of the semester.

Pass/No Pass

In some courses, students are graded Pass/No Pass. This grading option is established at the time the course is approved and must apply to the class as a whole. Pass/No Pass grading is not a student option.

When a course will be graded Pass/No Pass, the faculty member must clearly explain this fact to the students at the beginning of the class.

For performance comparison only, a grade of "P" (Pass) is considered equivalent to a grade of "C" or higher in undergraduate courses and a grade of "B" or higher in graduate courses. Pass/No Pass grades are used to determine satisfactory academic progress. However, P/NP grades do not carry grade points and are not used in GPA calculations.

Auditing

Audit registrations are on a space-available basis. Auditors may be dropped from a class to make room for credit-seeking students. No credit is received for audited courses. Terms for auditing the course are determined by the faculty. Faculty may request the course be changed to a withdrawal status if the student fails to comply with the agreed-upon terms. Submission of papers for correction, grading, and participation in laboratory experiences are at the discretion of the faculty.

Students who audit classes are required to meet prerequisites, register, and pay tuition and/or fees. During weeks one (1) and two (2) of the semester, audit-to-credit requires faculty signature. Audit-to-credit changes are not allowed after week two (2) of the semester. During weeks three (3) through twelve (12) of the semester, credit-to-audit changes require faculty signature. Credit-to-audit changes are not allowed after week twelve (12) of the semester. Forms are available in the Office of the Registrar.

Audited courses are not included in the computation of study load for full-time or part-time status. In addition, students may not request local credit-by-exam for an audited course until the following academic year.

Directed Study

A Directed Study course is a permanent catalog course delivered on an individual basis when the course is not offered that semester. The policies are as follows:

- A. Retroactive registration is not permitted.
- B. Forms not correctly completed will not be processed.
- C. Courses scheduled for less than a full semester may not be offered for more than one (1) credit each week.
- D. The deadline for directed study registration is the end of the ninth (9th) week of the fall and spring semesters.
- E. There can be no change in the basic content of the course. In particular, this means that the number, level, prefix, description, title, grading policy (A-F, P/NP), credits, and course content cannot differ from the permanent course.
- F. Only permanent or term faculty are allowed to be the Instructor of Record for the Directed Study courses. Deans and

Directors may function as Instructor of Record when no permanent or term faculty are available to fulfill that function. The responsibilities of the Instructor of Record are to: A) see that the grades are submitted via Faculty Web; B) see that the material is presented in full in a timely manner; C) approve the course of study; D) approve the credentials of other faculty involved; E) agree to assume responsibility if problems arise.

- G. The faculty member must have taught the permanent course or a related course prior to overseeing a directed study.
- H. The initiation of directed studies must come from the faculty in the discipline.

Independent Study – Course Numbers Ending in –97

An Independent Study course is a course consisting of topics or problems chosen by the student with the approval of the department concerned, with the supervision of an instructor, and final approval by the dean/director. These courses are not duplications of and must differ significantly from any catalog course. The independent study provides the opportunity for students who have completed most of the required courses in their program to study topics that are not offered. The policies are as follows:

- A. Retroactive registration is not permitted.
- B. Independent study courses cannot be used to fulfill GER (not petitionable).
- C. Forms incorrectly completed will not be processed.
- D. Courses scheduled for less than a full semester may not be offered for more than one credit each week.
- E. The deadline for independent study registration is the end of the ninth (9th) week of the fall and spring semesters.
- F. Only permanent or term faculty are allowed to be the Instructor of Record for the Independent Study courses. Deans and Directors may function as Instructor of Record when no permanent or term faculty are available to fulfill that function. The responsibilities of the Instructor of Record are to: A) see that the grades are submitted via Faculty Web; B) see that the material is presented in full in a timely manner; C) approve the course of study; D) approve the credentials of other faculty involved; E) agree to assume responsibility if problems arise.

G. The initiation of independent study courses must come from faculty in the discipline.

Grade Changes

Grades submitted by the faculty, other than incomplete (“I”) or deferred (“DF”), are assumed to be final grades. A grade may not be changed unless a grading error, such as a mathematical miscalculation or inaccurate recording, has been made by the faculty member. Corrections of grading errors must be made by the 15th class day of the next regular semester following the one in which the grade was originally assigned. The appropriate faculty member must submit a Change of Grade form to the Office of the Registrar. Change of Grade forms will not be accepted if submitted by a student.

End of Semester Grading

Faculty members may submit final grades within the Faculty Services section of UAAOnline. Once the deadline for grade submission is reached, the grades will be rolled to the student transcripts. At that time, the online system will be turned off, and any grades must be submitted through the Change of Grade process.

Posting of Grades

All faculty/staff that have access to student records must know and accept their responsibilities with regard to the release of student information.

The university does not release or publish personally identifiable information concerning its students. Personally identifiable information is data that includes the name of a student or a personal identifier, such as a social security number, the UAA student ID#, a temporary student number, etc. Posting grades may result in a violation of the Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, and is prohibited at UAA.

FERPA and Confidential Student Information

The Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, was designated to protect the privacy of education records, to establish the right of students to inspect and review their education records, and to provide guidelines for the correction of inaccurate or misleading data through informal and formal hearings. FERPA affords students certain rights with respect to their education records. They are:

- A. The right to inspect and review the student’s education records within 45 days of the day the school receives a request for access. Students should submit a written (letter or fax) request to Enrollment Services that identifies the record(s) they wish to inspect. Enrollment Services will make arrangements for access and notify the student of the time and place where records may be inspected. If the records are not maintained by Enrollment Services, Enrollment Services designated staff will refer the student to the appropriate personnel or office to access the record.
- B. The right to request the amendment of a record believed to be inaccurate or misleading. Students may ask the University to amend their education records if they believe the records are inaccurate or misleading. If the University decides not to amend the record as requested by a student, the University will notify the student of the decision and advise the student of his or her right to a hearing regarding the request for amendment. If the University denies the amendment request after the hearing, the student is given the right to insert a statement in the education record.
- C. The right to consent to disclosures of personally identifiable information contained in the student’s education records, except to the extent that FERPA authorizes disclosure without consent. UAA may release, without consent, certain directory information. No one outside the University shall have access to, nor will the University disclose any other information from, a student’s educational record without the written consent of the student, except to University officials with legitimate educational interests, to officials of other institutions in which a student seeks to enroll, to persons in compliance with a judicial order, to persons in an emergency, in order to protect the health or safety of the student or other persons, or as otherwise permitted under FERPA.

A University official with legitimate educational interests is a person employed by the University as an administrator, a supervisor, an instructor, or an administrative staff member; a person or company with whom the institution has contracted to perform a special task, such as an auditor or attorney; a member of the Board of

Regents; a governmental entity or any other entity with which a student is placed as part of his or her education; or a student serving on an official committee, such as a judicial or academic review committee or scholarship committee, or assisting another University official in performing his or her tasks. A University official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibilities.

The following information is designated as directory information and may be released to the public by UAA:

- A. Names of students
- B. Dates of attendance at UAA
- C. Program/Major field(s) of study
- D. Degrees and certificates received, including dates
- E. Participation in officially recognized University activities
- F. Academic and co-curricular awards, honors, and scholarships received and dates received
- G. Weight and height of students on athletic teams
- H. Electronic mail addresses
- I. Hometown; city, and state

In addition, UAA is required by Federal law (The Solomon Amendment) to provide student directory information (name, address, telephone listing, date and place of birth, level of education, academic major, degrees received, the educational institution in which the student most recently was enrolled) to United States Military Recruiting and Reserve Officer Training Corps personnel upon their request unless the student has submitted a non-disclosure request according to UAA procedures. A student may inform the Office of the Registrar that he/she does not give permission for the University to release his/her directory information. A written and signed request made by the student not to release his/her directory information must be given to the Registrar within two weeks of the start of the academic term. The requests for non-disclosure are valid until a subsequent written request to release directory information is received. With such a request on file, the student will only be able to transact business with the University in person after proving picture ID. Any inquiries regarding a student record with a confidentiality flag should receive the response, "I am sorry, I

have no information regarding that individual." Students have the right to file a complaint with the U.S. Department of Education concerning alleged failures by the University to comply with the requirements of FERPA.

The name and address of the office that administers FERPA is:

Family Policy Compliance Office
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-5920

A complete copy of the UAA procedures on the application of FERPA, including procedures for challenging the content of one's records, is available in the Office of the Registrar. Links to the University of Alaska Board of Regents' Policy and University Regulation (09.04.00) regarding education records are on the web site: www.alaska.edu/bor/policy-regulations/

Academic Dishonesty

Academic integrity is a basic principle, which requires that students take credit only for ideas and efforts that are their own. Cheating, plagiarism, and other forms of academic dishonesty are defined as the submission of materials in assignments, exams, or other academic work that is based on sources prohibited by the faculty member. Academic dishonesty and other forms or prohibited behavior are further defined in the Student Code of Conduct of the catalog or student handbook. In addition to any adverse academic action which may result from engaging in academically dishonest behavior, the University specifically reserves the right to address and sanction the conduct involved through the student judicial review procedures. Certain academic actions are reviewable under the Academic Dispute Resolution Procedure.

The examples, provided below, of actions constituting forms of conduct prohibited by the *Student Code of Conduct* are not intended to define prohibited conduct in exhaustive terms, but rather are to serve as guidelines for acceptable and unacceptable behavior. Examples of cheating, plagiarism, or other forms of academic dishonesty are:

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- A. Using material sources not authorized by the faculty member during an examination or assignment;
 - B. Utilizing devices that are not authorized by the faculty member during an examination or assignment;
 - C. Providing assistance to another student or receiving assistance from another student during an examination or assignment in a manner not authorized by the faculty member;
 - D. Presenting as their own the ideas or works of another person without proper acknowledgment of sources;
 - E. Knowingly permitting their works to be submitted by another person without the faculty member's permission;
 - F. Acting as a substitute or utilizing a substitute in any examination or assignment;
 - G. Fabricating data in support of laboratory or field work;
 - H. Possessing, buying, selling, obtaining, or using a copy of any material intended to be used as an instrument of examination or in an assignment in advance of its administration;
 - I. Altering grade records of their own or another student's work;
 - J. Offering a monetary payment or other remuneration in exchange for a grade.

Contact the department chair, the Dean of Students or Associate Dean of Students at 786-1214 for more information or consultation on academic dishonesty issues.

Academic Dispute Resolution

Challenges to academic decisions or actions of the faculty or academic administration will be reviewed according to the UAA procedure that implements the UAA Board of Regents Policy 09.03.02 and its University Regulation on Resolution of Disputes Regarding Academic Decisions or Actions. Appropriate issues for this procedure include such things as alleged arbitrary and capricious dismissal from or denial of admission to an academic program based upon academic considerations or alleged grading error or arbitrary and capricious grading for a final grade assignment. Grades assigned prior to the final grade received in a course are not subject to review under this procedure. Only the course instructor or an academic decision review committee may authorize a change in the

assignment of a final grade. The procedures to resolve disputes regarding final grades and admission to or dismissal from an academic program are further defined in the *Academic Dispute Resolution Procedure* section of the catalog or student handbook.

Academic Rights of Students

The University has the responsibility of providing a program of high quality education in keeping with its financial resources; students have protection through campus-specific procedures against arbitrary or capricious academic evaluation. Student performance shall be evaluated solely on an academic basis, not on opinions or conduct in matters unrelated to academic standards. Students are responsible for the proper completion of their academic program, for familiarity with all requirements of the University catalog, and for maintaining an acceptable grade average for degree requirements. Students have the right to be informed at the beginning of each term of the nature of the course, course expectations, evaluation standards, and the grading system.

Student Dispute/Complaint Resolution Process

University students have a variety of procedures available to them to process complaints or disputes about actions or inaction by members of the University community that adversely affect them. The process used will depend on the nature of the complaint. Refer to the UAA [Fact Finder](#) student handbook for more information on the Student Dispute/Complaint Resolution Process. Contact the Office of the Dean of Students at (907)-786-1214 for copies of the student handbook, or retrieve copies online at www.uaa.alaska.edu/studentaffairs/fact-finder.cfm

CAMPUS SUPPORT SERVICES

The following campus offices and service areas provide valuable assistance to the faculty. Please review this brief summary of services, and feel free to contact each one for more information or assistance.

Accounting/Cashier - Anchorage Campus

The cashier's window is located at the University Center. The cashiers will provide reimbursement for approved petty cash vouchers if the department does not have a petty cash fund.

During the Fall and Spring semesters, the cashier's window is open 9:00 am - 5:00 p.m. Monday and Tuesday, 11:00 a.m. – 5:00 p.m. Wednesday, and 9:00 am - 5:00 p.m. Thursday and Friday. During the two weeks of late registration for the Fall and Spring semesters, the cashier's window will be closed to petty cash transactions. For more information, call (907) - 786-1458.

University Police Department Anchorage Location Only

The University Police Department is located on the first floor of the Eugene Short Hall (ESH), on the west side of campus. The phone number for the University Police Department is (907)-786-1120. The University Police Department utilizes commissioned officers to provide a variety of services and provides a highly responsive unit to assist university personnel in the following ways:

- Opening/locking room doors
- Providing escorts
- Dealing with disruptive individuals
- Assisting motorists
- Dealing with traffic and parking problems
- Providing general campus information
- Dealing with building/room environment problems which arise after normal business hours
- Providing emergency responses to fire, police, or medical problems
- Accessing buildings and rooms during non-standard times, Sundays, holidays, late nights, etc. Please contact University Police Department in advance to arrange this access.

The University Police Department is staffed 24 hours a day, seven days a week. Escorts are generally provided by the Call Team officers unless it is early in the morning, then UPD provides the escorts. Call the dispatcher at 786-1120 when assistance is required.

Safety Tips

Please consider the following tips for maximum safety:

- DO lock your car after parking it.
- DO check the interior of your car before getting in.
- DO walk in well-lit areas during evening hours.
- DO walk with other people whenever possible.
- DO call University Police Department and report any safety problems.

- DO remain constantly aware of your surroundings while walking on campus.
- DO familiarize yourself with the locations of the exterior emergency call boxes.
- DON'T leave your valuables unattended, even for a minute.
- DON'T loan your university keys to anyone.
- DON'T hesitate to call University Police Department at (907)-786-1120.

Campus Security Report

The Campus Security Report contains the UAA campus crime statistics for the three most current years. The Campus Security Report measures crime reporting and alert procedures, crime prevention strategies and educational programs, the sexual offenses policy, complaint procedures and disciplinary actions, and disciplinary actions for violations of alcohol and other drug policies. The report may be obtained via the web at www.uaa.alaska.edu/safety or from the Dean of Students Office.

Safety and Emergency Procedures

What do I do if a medical emergency or injury or other emergency occurs in or near my class or office?

Call University Police at extension x61120 or (907)-786-1120 at an off-campus location. Clearly report the nature and location of the emergency. Follow the instructions given by University Police or emergency responders. Emergency telephones are located throughout the campus. Familiarize yourself with the location of telephones in your building.

What are my responsibilities as a faculty/staff member?

Faculty members are expected to remain with their students in an emergency situation and direct their students as instructed by the University Police, Campus Response Team, Building Manager or emergency personnel. In case of a building evacuation, keep the students together and go to the area designated. Staff members should remain at their duty station or evacuate to the appropriate facility. Each semester, evacuation instructions are provided to the faculty by Academic Affairs.

How does the University handle incidents or events such as an earthquake, blackout, or weather emergency?

If an event having campus-wide impact occurs, the Campus Response Team is automatically activated. The Response Team will assess the event and call for appropriate responses.

Emergency Weather Closures

How does UAA handle snow and weather closures?

The decision to cancel any or all UAA activities is made only by the Chancellor or designee. On snow days, UAA announces any potential closures by 6:00 a.m. for day classes and by 4:00 p.m. for evening classes. These decisions are made after an assessment and recommendation by the Campus Response Team. A detailed explanation of the snow closure procedure can be found in UAA Procedure 02.02.04 (A), available from any Dean's office or in the library. The snow closure procedure is also published through the Green and Gold, or AYCRT (Campus Response Team) early each semester.

Emergency Information Distribution

How do I find out about closures or emergencies? UAA utilizes a variety of communication avenues to notify staff and faculty of emergencies or closures.

- A. E-Mail: The AYNEWS list-serv named "Advancement" or the AYCRT list-serv named "Campus Response Team" are primary distribution channels and will be used to send notice.
- B. Voice Mail: A voice mail mass distribution system reaches many campus personnel. These messages are limited to time-sensitive university bulletins of an urgent nature. The voice mail system should not be used routinely for event promotion.
- C. Fax Mail: A series of major offices around the campus receive the UAA Fax Mail notices. These bulletins should be distributed within the units receiving the fax. It is the responsibility of each unit receiving a Fax Mail notice to make copies and distribute the notice, forwarding by fax, posting and distributing copies throughout the unit.
- D. Wolf-Radio: UAA has a parking/emergency radio transmitter which operates on 1610 AM. Usually devoted to basic visitor/parking information, this radio station will be used for bulletins and warnings concerning snow closures and

emergencies. This signal can be received on campus and in the surrounding area.

- E. Radio/Television: UAA notifies all major broadcast outlets of closures as rapidly as possible. Faculty and staff should be aware that not all outlets have 24 hour phone numbers and that UAA cannot control the content of broadcasts. We will notify broadcast outlets by 6:00 a.m. for day classes and by 4:00 p.m. for evening classes. To help expedite notification of broadcast outlets and to speed campus notification, please do not personally call University Police or University Relations about campus closures. Listen to your voice mail, listen to local TV or radio stations, or tune to Wolf Radio.

What if UAA is open, but I can't meet my class?

There may be times when conditions in an individual neighborhood prevent faculty from meeting their classes. If this happens, notify the Dean's office or Department Chair as soon as possible so that students can be notified. Keep a class roster at home or set up a phone tree in your class. It is the responsibility of the faculty member and the department to notify students if individual classes are canceled when the university remains open.

What if students can't make it to class?

Faculty should keep in mind that conditions can vary dramatically around the Anchorage bowl during major snowfalls. UAA makes every effort to remain open and operating but there may be times when students, like faculty, face local conditions that make travel impractical.

What about information on earthquakes, fire, etc.?

UAA makes available state and federal publications concerning appropriate actions during natural disasters. During the year, the UAA Safety Committee offers special seminars and workshops on selected topics. As residents of an earthquake prone area, faculty should become familiar with publications and information available on these topics.

Campus Regulations

Common problems arise each semester which cause substantial inconvenience to those unaware

of precautionary regulations established by the university. The following is a brief summary of some of these regulations, which generally apply to all campus locations unless otherwise stated:

Smoking

UAA has been designated a smoke free environment. Smoking is not allowed in any facility or vehicle owned, leased, or rented by, or under the control of UAA.

Controlled Substances

Possession, use, or sale of non-prescription drugs, including marijuana, is prohibited on campus.

Possession of Deadly Weapons

The carrying of deadly weapons is prohibited on the property of the University, in a University office or classroom in a building not on University property or at a University-sponsored activity or meeting not on University property. This applies to everyone, regardless of whether the person possessing the weapon has a lawful permit to carry a concealed weapon.

Parking Services

On the Anchorage campus a paid parking program has been implemented. Any vehicle parked in a designated area must display a campus parking permit or be subject to ticketing and impound. Purchase of parking permits online starts July 7th at www.thepermitstore.com. The Parking Services counter in the Bookstore basement opens for business on August 4, 2008. The following options are available:

DAILY PERMITS - Valid for a single day and for any general use permit lot. Departments can purchase daily permits in bulk for later use and are encouraged to mail or otherwise provide the permits to guests in advance of an event requiring their attendance. Daily Permits cost \$6.00 for all surface lots and the garage roof, and are available for purchase at the Library, Bookstore, and Parking Services in the Bookstore basement.

Early Bird Specials (Annual Permits Only)

Purchase a Yellow or Green Annual permit online from July 7 to July 31, 2008 and receive a discounted price.

Yellow Annual - \$180 (Fall/Spring/Summer)
Green Annual - \$100 (Fall/Spring/Summer)

Purchase a Yellow or Green Annual permit online from August 1 to August 24, 2008 at a reduced price.

Yellow Annual - \$205 (Fall/Spring/Summer)
Green Annual - \$125 (Fall/Spring/Summer)

YELLOW PERMITS - Allow parking in all Goose Lake Campus surface lots. Permits must be affixed to the front windshield lower driver's side corner. Lost or stolen permits must be replaced at Parking Services for a \$10.00 administrative fee. Decal: \$140.00 per semester/\$230.00 per year.

GREEN PERMITS - Night/evening permits are valid only from 4:00 p.m. until 7:30 p.m. Permits must be affixed to the front windshield lower driver's side corner. Lost or stolen permits must be replaced at Parking Services for a \$10.00 administrative fee. Decal: \$75.00 per semester/\$145.00 per year.

PLATINUM PERMITS - Allow users to park in the garage located between the CAS and Science Buildings and all Goose Lake Campus surface lots. Price per semester is \$160.00, and permits are sold on a first come, first served basis, online or at the Parking Services office. Permits must be affixed to the front windshield lower driver's side corner.

METERED PARKING SPACES - Generally for campus visitors. All people who park in metered spaces must put money in the meter, regardless of whether they have a platinum, green, yellow, brown, daily, or temporary permit. Pay N Park machines are available in various locations around campus and on the garage roof. Time can be purchased from these machines providing an alternative to metered parking. The receipt should be placed on the driver's side of the dashboard. The receipt is valid in any surface lot on the Goose Lake Campus and on the garage roof.

Permit Enforcement Hours

Monday through Thursday, 7:30 a.m. to 7:30 p.m. for all parking spaces. Friday, Saturday, and Sunday, no permit and meter enforcement. All other violations (fire lane, handicapped spaces, loading zones, restricted use spaces, and housing) are enforced 7 days a week, 24 hours a day.

Parking tickets may be paid in person by using the 24-hour drop box in the Eugene Short

Building, outside the Bookstore Building, or through the mail. For more information, contact Parking Services at (907) - 786-1119.

Handicap Parking

Spaces are designated in each lot on the Anchorage campus with distinctive blue and white signs and are reserved for the exclusive use of persons who have been approved to park there by the Department of Motor Vehicles. Motorists who park illegally in handicap spaces will receive a citation and a \$250 fine. Offending vehicles may also be impounded at a cost to the owner of \$50 or more. For those who park legally in these handicap spaces, a valid parking permit, Pay N Park receipt, or metered time is also required.

Fire Lanes

Many areas have been designated as fire lanes. Parking is prohibited in any of those areas in order to maintain emergency vehicle route access. Vehicles parked in fire lanes will be issued a citation. Offending vehicles may also be impounded.

Campus Life: Student Union

The Student Union is the hub of the Anchorage campus, bringing together students, faculty, staff, alumni, and the Anchorage community. The mission of the Student Union is to create an environment which promotes student development and supports the co-curricular educational, social, and recreational needs of the campus community.

The Student Union Information Desk is a helpful source of general university information with staff available seven days a week: Monday-Friday, 8 a.m. to 10 p.m. and Saturday/Sunday 10 a.m. to 10 p.m. (reduced hours between semesters). The Desk is UAA's place for up-to-date information and offers tickets to various campus events. The Outdoor Equipment Rental program is also operated from the Student Union Information Desk. UAA faculty members can rent kayaks, canoes, cross-country skis, snowboards, bikes, and more. Other Information Desk services include notary, discount Regal Cinema movie tickets, snacks, candy, fax services, and lost & found.

The Student Union is where you'll find the UAA Subway Sandwich shop, one of four campus ATMs for Denali Alaskan Federal Credit Union,

the Corner Café, an open computer lab, the quiet study lounge, and the student lounge. The Student Union has the Lyla Richards conference room (capacity of 40), the Den (used for receptions, banquets, etc; capacity of 125 seated), the North and South Cafeterias (varying capacities, great for workshops and seminars). Also located in the facility: the Student Union operations, Student Life and Leadership, Student Activities, Student Media and the Concert Board, as well as the offices of Student Development (Dean of Students), Student Leadership, USUAA Union of Students (student government); the Northern Light student newspaper; Club Council & Greek Affairs.

For more information, call (907)-786-1204 or visit www.uaa.alaska.edu/campuslife

UAA WOLFcard

The WOLFcard is the identification card for UAA. It is provided to students, faculty, and staff of the university. It allows use of the campus facilities and access to campus events and services. The WOLFcard may be used as a debit account to spend WOLFbucks at various locations. The initial card is free; a fee will be charged for a replacement card. Eligible students and employees can get their cards by visiting the WOLFcard office at the University Center, Suite 109. For more information, please call (907) - 786-4695 or visit www.uaa.alaska.edu/wolfcard. Hours of operation are Monday, Tuesday, Thursday, and Friday from 9:00 a.m. to 5:00 p.m. and Wednesdays from 10:00 a.m. to 5:00 p.m.

Food Service

UAA Seawolf Dining provides a variety of restaurants and menus to meet your needs. **Creekside Dining** features a wide variety of fresh food designed to satisfy everyone's appetite with fresh fruit & salads, the deli sandwich of the day, "**Classics**" home-style entrees, "**International**" wok, stir-fry, & pasta created before you, enjoy freshly baked pizza, and your favorite sandwich from the grille, beverages & desserts galore. Creekside Dining is an "all you care to eat" restaurant. If convenience is on your mind, then the **Bear Necessities** convenience store is your answer. Out of shampoo? Look no further than dah Bear. Hungry for a light breakfast? Join us at dah Bear for a **Kaladi's** cappuccino & a bagel with cream cheese. Late afternoon on the run?

Grab something from the *Smart Market* in dah Bear. Time to stock up on groceries? Dah Bear has what you're looking for. Open early & open late - convenience with you in mind. Creekside Dining and the Bear Necessities are located in Gorsuch Commons. Visit the *Cuddy Market Place* featuring *Pizza Piazza, Ultimate Baja, Grill 155, Smart Market*, and Soup & Salad. *Smart Market* is an amply stocked convenient solution to your need for a good meal in a big hurry. Our extensive and ever-changing "grab & go" menu consists of sandwiches, salads, wraps, desserts, and microwaveable meals. Opening Fall 2008 the newly expanded *Cuddy Daily Grind* featuring *Raven's Brew Coffee, Smart Market*, and fresh bakery items.

Join UAA Seawolf Dining in the Student Union on both the lower and the upper floors. *Union Station* -- upstairs at the Union serving a complete line of *Kaladi* espresso beverages, and an assortment of freshly baked pastries and *Smart Market*. Join us on the lower level at *Subway, Mein Bowl, and AFC Sushi*. Arriving August 2008, *Mein Bowl*, authentic Asian cuisine. Pungent spices, delicate aromatic sauces, intricate and imaginative combinations of vegetables and chicken, beef, or pork. *Mein Bowl* nourishes the body and soul and creates a positive, flowing chi. Tired of research in the Library? Visit Starbucks in the lobby of the Social Sciences building. Find yourself visiting the Admin Building? How about a *Kaladi's* espresso or latte at the *Admin Brew Stop*? *Admin Brew Stop* also features *Smart Market* and the soup of the day. Questions, please visit us at: www.uaaseawolfdining.com/ or call (907) 751-7454

University Housing

University Housing is responsible for the administration of the three residence halls, Main Apartment Complex, and Templewood Apartments, including room assignments, maintenance, operations, and student accounts. They are able to accommodate a total of 950 residential students in UAA's on-campus housing with a variety of floor plan options. To be eligible for on-campus housing, students must be enrolled in a minimum of twelve (12) credits each semester. Due to the academic nature of on-campus housing, resident students are expected to make academic progress during their tenure in housing. Applications are accepted on a year-round basis. Summer housing is available

for students enrolled in three (3) or more credits each summer session. University Housing also operates an information desk in The Commons that is open Monday – Friday from 8:00 a.m. to midnight and Saturday Sunday from 10:00 a.m. to midnight during the academic year. Summer hours are reduced: Monday – Friday from 8:00 a.m. to 5:00 p.m. The information desk is staffed with professional (business hours only) and student (after business hours) staff. University Housing is located at 3700 Sharon Gagnon Lane, Suite 101. To access the phone line for the information desk, call (907)-751-7200. For more information on University Housing, visit www.uaa.alaska.edu/housing/

Conference and Catering Services

Conferencing Facilities has three state-of-the-art conference rooms located in the Commons, the center of the University Housing area, available year round for public use. CCS can arrange for use of lecture halls, classrooms, intimate theaters and a 900-seat auditorium on campus. CCS will work to find the right location on campus for any group's meetings. For more information, call (907) 751-7273, or visit: www.uaa.alaska.edu/conferences

Catering

No event is complete without great food. The Creekside Eatery or full service catering provided by NANA is the easiest solution for feeding any group meeting at the commons. Breakfast, lunch or dinner in-house catering is available to provide everything from simple coffee service to elegant fine dining for your banquets. Conference rooms in the Commons and the Lucy Cuddy Center on campus are just some of the venues for dining events. For more information, call (907)-751-7271.

Summer Guest Housing

UAA Conference and Catering Services offer a variety of economical housing arrangements to comfortably house groups or individual guests. Designed for student housing with privacy and security in mind, suites are available in single, double, and quadruple room arrangements, and are equipped with the latest technology. CCS operates with full service hospitality staff, with all hall desks open 24/7. The summer program runs mid- May to mid-August. For more information, call (907)-751-7211 or 751-7241.

Bookstore

The UAA bookstores provide books and supplies to assist students, faculty, and staff in the attainment of their educational goals. Each of the extended colleges operates an independent bookstore. The stores offer books and required materials for locally offered courses, as well as a limited number of general school supplies and educational software.

In Anchorage on the UAA Campus, the facility is called the Campus Bookstore. At the University Center in Anchorage, the facility is called the Limited Edition. It carries textbooks and supplies for courses taught at the University Center.

Textbooks and supplies for classroom use must be requested on requisition forms available through department administration assistants or on-line via the bookstore web page. To have educational material available in a timely manner requisition forms, authorized by the department chair, must be submitted on the following dates:

Fall Semester	April 15
Spring Semester	October 1
Summer Semester	March 1

Please note that the Bookstore does not receive instructor desk copies. Publishers generally will issue a free copy of an adopted text to each instructor using the text, if requested. The academic department or individual instructor is responsible for ordering desk copies.

The Board of Regents has established the following policy concerning non-discrimination in textbooks and educational materials:

In recognition of the University of Alaska's commitment to provide equal educational opportunity, all members of the university community responsible for the selection of textbooks and educational materials are expected, in the absence of an explicit educational objective to the contrary, to avoid the use of textbooks and educational materials which reflect bias toward or against any person or group of persons based on their sex or minority status. {See Regents' Policy 10.10.01}

A faculty center network is available on the bookstore web page at www.uaa.alaska.edu/bookstore. It provides a searchable database by title, author, or subject, provides information about new titles, edition

changes, and educational supplements. Chapters and tables of contents of textbooks can be reviewed. Publisher information is available to order desk copies, obtain e-mail addresses for the publisher representatives, or request a review copy.

The Bookstore stocks a wide selection of fiction, non-fiction, and poetry books in both hardcover and paperback editions to complement prescribed written materials. The selection is not limited to popular trade books; it includes study aids, technical manuals, reference books, academic titles, university press books, and scholarly books available from many publishers. The Campus Bookstore takes great pleasure in stocking books authored by UAA faculty. Any faculty member who has published a book may contact the Bookstore to make sure their work is included in the UAA Faculty section.

During the year, the Campus Bookstore sponsors and hosts a variety of special events. Information about coming events, and pictures taken from previous events, are available on the web site, www.uaa.alaska.edu/bookstore. All events at the bookstore are free and open to the public.

LIBRARIES**Consortium Library UAA / APU Consortium Library**

As the state-designated research library for south-central Alaska, the Consortium Library serves the University of Alaska Anchorage and Alaska Pacific University and is also open to the public. Connected to the Social Sciences Building on UAA's east campus, the library's holdings include more than 820,000 bound volumes and 4,800 journal subscriptions. It is a select depository for federal and state government documents and is a designated Foundation Center Cooperating Collection. Supported by an extensive medical collection, the library's Health Sciences Information Service serves the health information needs of the University's students, faculty, and staff, and offers a full range of library services to Alaska's medical community. Other unique collections include Alaska and arctic-related materials and Archives and Special Collections.

Two partners share space in the recently renovated library building. The Consortium Library is a founding member and working

partner of ARLIS, the Alaska Resources Library and Information Services (www.arlis.org/), a specialized library with 200,000 volumes and more than 700 print and electronic journal subscriptions focused on natural and cultural resource materials related to Alaska and other arctic regions. AMIPA, the Alaska Moving Images Preservation Association (www.amipa.org/), is a private, non-profit organization that collects, provides access to, and educates the public on the importance of preserving Alaska's sound and moving image heritage.

The Consortium Library makes available more than 190 indexes and electronic databases, including many thousands of electronic journals and books, covering materials in a broad range of disciplines. Interlibrary loan and document delivery services provide quick access for materials not found in the collections. Wireless Internet access is available throughout the library building. Reference and other services, tutorials, information about reserve materials, research guides, access to RefWorks, and much more can be found on the library's home page: consortiumlibrary.org.

During Fall and Spring semesters, library hours are weekdays 7:30 a.m. – 11:00 p.m.; Saturday, 10:00 a.m. – 6:00 p.m.; and Sunday, noon – 11:00 p.m. Hours are reduced during summer sessions and between semesters. Reference librarians are available to assist users during most open hours. Library instruction sessions for classes, database demonstrations, general building tours, and other special services can be arranged in advance by calling the Reference Desk at (907)-786-1848. The library also regularly offers students one- and three-credit courses in the use of information resources and library services.

Library faculty serve as assigned subject liaisons to facilitate communication between the library and department faculty. Faculty are encouraged to participate in collection development by submitting requests for titles through their designated library liaison. Faculty can also peruse the library's New Title List to see recent acquisitions. See the faculty toolkit for information on these and many other services: consortiumlibrary.org/find/faculty_toolkit.

The Library Advisory Committee of the UAA Faculty Senate offers faculty representation in library matters, with members elected each academic year from the various schools and colleges. As mandated by the Consortium Agreement with Alaska Pacific University, representatives from APU also participate on this committee.

For further information about the UAA / APU Consortium Library, contact the Reference Desk at (907)-786-1848 or email ayref@uaa.alaska.edu.

Kenai Peninsula College Library

The Kenai Peninsula College Library shares the Clayton Brockel Building with the Learning Center, three general classrooms, two art classrooms, and the KPC Art Gallery. The KPC Library also provides support for the Kachemak Bay Campus Library in Homer.

During the academic year, the library is open Monday through Friday, and is closed weekends and holidays. The staff provides reference assistance and collects materials to support KPC programs and patrons. Faculty participation in the selection of materials is actively encouraged.

KPC users have access to items included in the Library Catalog, and interlibrary loan services for materials from libraries worldwide are available for registered students, staff, and faculty. For a more detailed listing of the library's holdings and services, see the KPC webpage at www.kpc.alaska.edu/lib/index.html.

Library instruction and orientation are available through a variety of formats. A one-credit course in library skills is available to students. Library users may also receive walk-in orientation at any time. Instructors on the KPC campus should reserve dates for their classes to come to the library and receive course-related library orientation.

The KPC Media Center is located within the library and is operated by KPC Library staff. Media equipment such as CD / DVD / stereo players, media projectors, and portable computers may be checked out for campus use. Reservation and delivery of media equipment should be arranged in advance by contacting library personnel.

Kodiak College – Carolyn Floyd Library

The Carolyn Floyd Library supports the educational mission of Kodiak College by providing access to information resources in a variety of formats including books, DVDs, audio CDs, VHS tapes, and digital files. While the local collection of approximately 28,000 items is relatively small, Kodiak College library patrons enjoy easy access to the physical and electronic resources of the Consortium Library at UAA, its extended campus libraries, and additional library partners in South-central Alaska. The combined holdings of these libraries can be easily viewed and requested by Kodiak patrons through the Library Catalog:

www.koc.alaska.edu/library.asp

The Library is open fifty-two hours per week during the Fall and Spring semesters and is closed over the summer. Two full-time library employees provide reader's advisory and research assistance to both the college community and the general public.

The Carolyn Floyd Library also provides a wide array of instructional technology and software to support high quality student work. Nine computer stations are equipped with Internet access and the most current word processing, presentation, spreadsheet, database, and web editing software. Two printers, a scanner, and a copy machine also reside in the library. Laptop computers are available for student check-out. The Kodiak College wireless network attracts many patrons to the library for fast and convenient Internet access.

Matanuska-Susitna College – Alvin S. Okeson Library

The Alvin S. Okeson Library contains over 45,000 items including books, maps, videos, and CDs. The collection is searchable through the Library Catalog, which contains the holdings of all of the libraries on the various campuses of UAA, as well as the Anchorage Public Libraries, the Anchorage Museum Library, ARLIS, and the Valdez Consortium Library. Most of these materials are available for borrowing by members of the Matanuska-Susitna College community and can be sent to the library within one week. The library maintains 80 periodical subscriptions in print and has access to several thousand additional journals through its electronic databases.

Faculty members are important partners in the development of the library's collection, and suggestions for purchases are encouraged. Course reserves allow instructors to place material critical to their students' success in an easily accessible location. When placed on course reserve, an item's normal circulation period can be restricted to three days, one day, or library use only. Additional resources for students include a 19-station computer lab, computers for students with special needs, two group study rooms, and a variety of seating arrangements to accommodate a range of study environment preferences.

A library skills course is offered annually, with orientations for specific courses provided on request. Staff members are also available for one-on-one instruction. Printed handouts and brochures provide additional guidance. Instructors may contact the librarian at (907)-745-9743 to schedule class tours and orientations. A variety of media equipment to assist instruction at the Mat-Su campus is also available; call (907)-745-9714 for more details.

During Fall and Spring semesters, hours of operation are Monday – Thursday, 8:30 a.m. – 9:00 p.m.; Friday, 8:30 a.m. – 5:00 p.m.; and Saturday, 9:00 a.m. – 3:00 p.m. Between semesters and during summer, the library is open Monday – Friday, 9:00 a.m. – 5:00 p.m.

For further information, please refer to the library's website www.matsu.alaska.edu/campusResources/library or call (907)-745-9740.

FACULTY INSTRUCTIONAL AND TECHNICAL SUPPORT Learning Resource Center

The Learning Resource Center (LRC) is located in the Sally Monserud Hall (SMH). The mission of the LRC is to provide educational support and service to all UAA faculty and students.

The LRC provides a variety of instructional assistance to faculty, including:

- Instructor Reserve Materials: Instructors can place materials on reserve for checkout to their students. Instructors may place books, pamphlets, videos, computer software, CD-ROMs, CD duplicator, DVDs, and printed materials on reserve at the LRC for student use.

- UAA Media Library: Films and videotapes are available for preview and checkout to University of Alaska instructors throughout the state. Catalogs of holdings are available at the LRC or can be obtained by calling 786-6831 or visit www.uaa.alaska.edu/ctc/lrc/index.cfm
- Technology innovations for curriculum development: test scoring machine, laminators, high-speed audiocassette tape duplication system, CD and DVD duplication, overhead projection materials, report binding, and graphics. For further information, please call (907)-786-6834.

The Learning Resource Center (LRC) is a friendly place to study and use a variety of resources.

Student services offered at the LRC and associated learning labs include:

- Instructor reserve materials for students
- Group and quiet study areas
- LRC/ITS general use computer lab
- Writing Center with tutors
- Math Lab and tutors
- Computer-Assisted Writing Lab with tutors
- English-as-a-Second Language (ESL) tutoring
- Language Lab and tutors
- Video viewing and audio listening stations
- VCR/DVD/CD-ROM players
- Copier machines and typewriters
- Graphics Work Area
- Testing site for correspondence courses

To find out how to place materials on reserve for checkout to your students, or to reserve instructional media for use in classrooms, or to find out more about the services that the LRC offers, please call (907)-786-6829 or visit www.uaa.alaska.edu/lrc.

Information Technology Services

The Information Technology (IT) Services Department provides local campus network, computing, telephone, audio visual, web hosting, and online curriculum services to the UAA community. IT Services is committed to providing students, staff, and faculty with a variety of important and useful technology-related services. A brief summary of services is provided below. Up-to-date service descriptions and related information may be found at technology.uaa.alaska.edu or by contacting the IT Services Call Center at (907)-786-4646.

Customer Support

The IT Call Center provides a single point of contact for all technology related services. Technicians can assist faculty with the following services: telephone, data network and computing, Internet access, email, appropriate use policies, software licensing, basic software/hardware troubleshooting, and online curriculum (Blackboard™, eLive). The Call Center can be reached by telephone at 786-4646, by e-mail at callcenter@uaa.alaska.edu, or by visiting technology.uaa.alaska.edu.

Telephone Services

IT Services operates UAA's campus telephone system. For a monthly service charge, faculty and staff receive local telephone and voice mail services. Long distance is available via a long distance access code, and charges are billed to departments; calling cards are also available. If you would like to schedule a training session or have any problems with your telephone service please contact the IT Call Center at (907)-786-4646, option 5.

Desktop Services

The IT Desktop Team offers a wide range of technology-related services on a recharge basis (time and materials). Services include new PC setup with migration of old data, setup of peripherals (i.e. printers, scanners, etc.), LAN troubleshooting, server maintenance, PC maintenance, and setup of desktop videoconferencing units. Work is performed under UAA technology standards. To request desktop support, please call the IT Call Center at (907)-786-4646, option 1.

Campus Open Computer Labs

IT Services maintains five open computer labs on campus that provide Internet/email access, laser printing, and a variety of popular software applications on both Windows and Macintosh platforms. All faculty, staff, and registered UAA students are welcome to use these facilities. Lab consultants are available to assist with basic equipment/software operation and campus resources. Consultant hours are posted at each location and can also be accessed by calling the Call Center at (907)-786-4646, menu option 1. For complete information on individual lab resources and hours of operation, please visit technology.uaa.alaska.edu/computer/labs. The following is a list of the Computer Labs and their locations:

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- Consortium Library
 - Student Union Building, second floor, room 211
 - Sally Monserud Hall (SMH), located within the Learning Resource Center (LRC), room 111
 - The Commons, room 105
 - University Center, room 126

Campus Data Network and the Internet

IT Services maintains a high-speed campus data network which provides high-speed access to local resources and the Internet. Virtually all offices, classrooms, and on-campus buildings have appropriate cabling and can be connected to the network. The network provides automatic address allocation and other network configuration information via DHCP. The campus network connects directly to the University of Alaska-wide area network. This network connects all university campuses and also connects to the Internet and Internet2 via the Pacific North West GigaPOP. Wireless connectivity is available on campus; please visit technology.uaa.alaska.edu/computer/network/wireless for more information.

Network Security

Firewall server support is available for departments desiring to protect their servers from the high risks associated with having computers on the open network. The Core Asset Security Environment (CASE) consists of redundant firewalls with the specific purpose of protecting UAA's servers from outside intrusion. Currently, all core IT Services servers such as Directory, Mail, Web, and Database reside behind the CASE environment. Co-location facilities are being planned to expand this protection to other areas of campus.

Copyright Infringement Policy

The University of Alaska Anchorage provides network and computing infrastructure to promote the basic missions of the University in learning, research, and service by facilitating communication, collaboration, and access to information resources. Users of this infrastructure must be mindful of and respect ownership of intellectual property and copyrighted information to which this infrastructure can provide access.

Copyright and intellectual property rights may apply to files of any media type, including

software, texts, databases, images, video, music and other audio files. Abuse of computing or network technologies to copy or distribute materials in violation of copyright, license, or intellectual property rights undermines the free exchange of ideas and access to information resources central to the University's mission and is expressly forbidden by University Policy and Regulation.

The University of Alaska Anchorage aggressively investigates specific claims of such abuse, including abuse using personally owned computers connected to the University's network. Verified cases of abuse may lead to immediate suspension of access to University networks and/or computing resources, and may subject violators to possible University disciplinary action, fines, other civil penalties, and criminal prosecution by copyright owners.

Electronic Mail Services

Email accounts are available to all students, staff, and faculty. University usernames and passwords are created automatically within two business days after anyone is registered as a student or UAA employee. To find your username, go to technology.uaa.alaska.edu and use the 'USERNAME LOOKUP' form. The default email address is the username with @uaa.alaska.edu appended to it. Mail aliases such as johndoe@uaa.alaska.edu are permitted and make email more personalized. Complementing the UAA standard email platform is Microsoft Exchange. The MS Exchange environment is available for employees who desire full group collaboration functionality, such as calendaring, file sharing, etc. Faculty should contact the IT Call Center for further information on usernames/passwords and general mail information or visit technology.uaa.alaska.edu/computer/email.

Web Hosting Service

Students, staff, faculty, and UAA Departments have access to UAA's web-hosting environment for creation and support of personal web pages and content. All content placed into these web pages must conform to UAA's appropriate use guidelines and information resources policies. Faculty should contact the IT Call Center for further information on this service or visit technology.uaa.alaska.edu/computer/WebHosting

Faculty Technology Center – New for Faculty!

The IT Services Department provides faculty with a variety of resources in support of teaching with technology. Our team of Instructional Designers and Multimedia Developers provides consultation and support on all levels of expertise. If faculty are interested in learning how to use Blackboard or eLive, how to convert a course to online format, or simply have a need to learn more about the digital world, IT staff are ready to assist. The Faculty Technology Center, located in LIB214, is equipped with the latest in instructional technologies and is available by reservation. For more information, contact the IT Services Call Center at (907)-786-4646, option 4.

AV Services

The AV Services Team supports the audio-visual and media equipment needs for the campus by providing the following services: Smart Classroom training for individuals or groups (please call to schedule); equipment requests and deliveries; video conferencing support; maintenance and repair of AV multimedia equipment. Faculty and staff equipment requests must be made at least 24 hours in advance and can be made as far as three months in advance. AV employees will deliver/pick-up equipment at designated locations for specified time slots. Requests for services may be made by calling (907)-786-4646, option 2 or on a walk-in basis in the Gordon Hartlieb Hall (GHH), room 101. Further information can be found at technology.uaa.alaska.edu/av.

Distance Education Support – For Students

The IT Call Center has a specific menu option for supporting students enrolled in Distance Education courses. If students require assistance, they should call (907)-786-4646, option 3, or toll free, 1-877-633-3888.

Center for Advancing Faculty Excellence

The Center for Advancing Faculty Excellence (CAFE) opened in fall of 2000 to promote excellence in teaching and learning, service, community engagement, assessment, creative activity and research in an atmosphere of collegiality. The Center supports faculty at UAA, including on the community campuses, through the following activities:

- workshops and speakers on subjects of interest to faculty;

- special support for new faculty;
- information about grant opportunities and awards;
- online resource modules;
- a library of faculty development materials;
- a small lounge and temporary work space for faculty;
- a computer laboratory for improving skills in distance technology; and much more.

CAFE is located in Consortium Library, Room 304 or Room 302D in the Gordon Hartlieb Hall. For more information, please visit the CAFE website at www.uaa.alaska.edu/cafes/ or call CAFE at (907)-786-4644 or (907)-786-4603

Center for Community Engagement and Learning

The Center for Community Engagement and Learning connects academic programs with community service so that faculty, students, and community partners can forge linkages between theory and practice, between knowledge and action, and between the university's academic resources and the community's development. Established in 2000, CCE&L promotes new models of teaching, learning, and scholarly research between UAA faculty, students, and community-based groups. CCE&L's commitment to collaboration encourages innovative, practical, and action-oriented approaches to improve Alaskan communities. CCE&L serves as a clearinghouse for faculty interested in community-based, service learning pedagogy and research; as a front door to the university for community leaders with project ideas; as a catalyst for students seeking engagement or relevant learning experiences beyond the traditional classroom; and as a promoter and generator of participatory action research to help meet the applied research needs of our communities. CCE&L provides faculty workshops, technical assistance, seed funding for service-learning projects, and other resources. For further information call (907)-786-4062, e-mail engage@uaa.alaska.edu, or visit engage.uaa.alaska.edu.

MISCELLANEOUS INFORMATION

Academic departments or extended college directors will offer more specific information regarding the following:

Department Meetings

Each instructional department is responsible for setting up and conducting faculty/department meetings. Please check with the department chair or extended college director for information regarding the meeting schedule for each semester.

Faculty Absences

Faculty members unable to meet with classes at regularly scheduled times due to illness or emergency must notify their department chair, dean, or director for appropriate action. See also the Safety and Emergency Procedures.

Instructional Supplies and Materials

Direct all requests for instructional supplies and materials to the department clerical staff. Request special materials which require more than nominal expenditures as early as possible. All purchase requests must have appropriate signature approval.

Clerical Support

Clerical support is provided by the clerical staff assigned to specific disciplines. Clerical staff may provide support for typing of class handouts, course syllabi, examinations, and other course related materials which generally requires a lead time of at least three days to ensure completion by the required date and the most cost-efficient method of duplication

**CHAPTER II: UNIVERSITY OF
ALASKA BOARD OF REGENTS'
POLICIES ON PERSONNEL:**

**UNIVERSITY OF ALASKA BOARD OF REGENTS'
POLICY: REGENTS' POLICY 04.04.00**

Faculty Appointment, Review, Promotion, Tenure, and Sabbatical Leave

**University Policies can be found online at:
www.alaska.edu/bor/policy/04-04.doc**

**CHAPTER III: UAA POLICIES AND
PROCEDURES RELATING TO
APPOINTMENT, REVIEW,
PROMOTION AND TENURE**

**CHAPTER III: UAA POLICIES AND PROCEDURES RELATING TO APPOINTMENT,
REVIEW, PROMOTION, AND TENURE**

Approved by Board of Regents, December 15, 1988

The following University of Alaska Anchorage policies and procedures regarding faculty appointment, review, promotion, and tenure are to be used in conjunction with the Regents' Policies relating to appointment, review, promotion, tenure, and sabbatical leave. If there appears to be a conflict between the policies, the Regents' Policies will prevail. Unless otherwise explicitly stated, the following assumptions and principles shall guide the application of these UAA policies and procedures.

- A. The University of Alaska Anchorage has a tripartite responsibility for teaching, research/creative activity, and service. Individual schools and colleges have, as a minimum, a bipartite responsibility, including teaching and service, but may, depending on their mission, assume a tripartite responsibility. Creative activity refers to such things as producing original works or performances in art, literature, and the performing arts. Research refers to the acquisition of knowledge, information, or data and the synthesis of that knowledge, information, or data into published works.
- B. It will be the responsibility of each school and college, in concert with the overall mission of the University of Alaska Anchorage, to define the proportion of the efforts of its individual faculty to be expended in teaching, research/creative activity, and service.
- C. The apportionment of effort under a bipartite or tripartite workload responsibility shall be set forth in writing in the job description used for the initial hire and in the annual workload description. The job description and the annual workload description will identify the areas of activity to be evaluated for promotion and tenure.
- D. Individual faculty appointed to *UAA ON OR BEFORE JULY 1, 1987*, shall have bipartite or tripartite workload responsibilities that reflect their historical workloads consistent with the position they held before restructuring. Individual faculty appointed to *UAA AFTER JULY 1, 1987*, shall have their bipartite or tripartite workload responsibilities defined at the time of initial hire.
A faculty member will retain his/her bipartite or tripartite workload responsibility established at the time of hire or under this policy as long as he/she continues to hold a faculty appointment unless it is changed by mutual agreement between the faculty member and the appropriate dean or director.
- E. Calculating "time in rank" for years of service of a former community college faculty member shall be as follows: total years in lanes A and B shall count for time in rank as instructor; total years in lane C shall count for time in rank as assistant professor; total years in lanes D and E shall count for time in rank as associate professor.
- F. "Terminal Degree" shall mean degrees at the doctoral level in the discipline unless otherwise specifically noted by the school or college, and approved by the University-wide Faculty Evaluation Committee and the Vice Chancellor for Academic Affairs. Designation or revision of appropriate terminal degrees in related disciplines or appropriate terminal degrees other than at the doctoral level shall be subject to review and approval at the department, school or college, and university-wide levels. Designation of the appropriate terminal degree(s) other than the doctorate, for a particular discipline area shall be initiated by the faculty at the departmental level, shall be based on national standards, and shall be approved through a process determined by the school or college.
A master's degree in the discipline or appropriate field shall be considered the terminal degree for former community college faculty who transferred to the University of Alaska Anchorage under terms of Board of Regents' Policy 04.11.01 July 1, 1987.
- G. There will be one set of tenure-track ranks. The four academic ranks will be instructor, assistant professor, associate professor, and professor.
- H. Consistent with the policies of the Board of Regents and University of Alaska Anchorage, individual schools and colleges shall determine the qualitative criteria for

initial appointment, reappointment, tenure, and promotion to each rank.

- I. To be tenured, candidates must meet criteria for tenure in all areas of faculty responsibility specified in the faculty member's workload agreements for the evaluation period since initial appointment to an academic rank.
- J. To be promoted, candidates must meet the minimum qualifications for the rank being considered and must meet the criteria in all areas of faculty responsibility specified in the faculty member's workload agreements for the evaluation period since the prior promotion or since initial appointment to an academic rank if there has been no promotion.
- K. Except as specified elsewhere, faculty may stand for promotion and tenure at any time, provided they are reviewed for tenure by the end of their seventh year. If tenure is not awarded by the end of the seventh year, the faculty member shall be given a one-year, terminal appointment.
- L. No person holding any academic rank may be appointed to tenure without faculty review.

Appointment to Tenure

A faculty member may request an evaluation for award of tenure during any year of service. However, a faculty member must be reviewed for tenure in accordance with the following:

- A. Initial appointment to full professor. Faculty initially appointed to the rank of full professor will be awarded tenure at the time of appointment.
- B. Initial appointment to associate professor. Initial appointment to the rank of associate professor may be made with or without tenure. Faculty receiving such appointment without tenure must be reviewed for tenure no later than the fourth (4th) consecutive year of service. Appointments to associate professor may continue beyond the fifth (5th) year only with tenure.
- C. Promotion to associate professor. Non-tenured faculty undergoing review for promotion to associate professor must also be reviewed for tenure. Promotion to associate professor cannot be made without prior or simultaneous award of tenure.
- D. Initial appointment to assistant professor. All non-tenured faculty appointed at the rank of assistant professor must be reviewed for

tenure no later than the seventh (7th) consecutive year of service.

- E. Initial appointment to instructor. Tenure may be awarded to faculty holding the rank of instructor. Time in the rank of instructor shall count toward tenure.
- F. Change in bipartite or tripartite workload category prior to tenure. Faculty who desire to change the designated bipartite or tripartite workload category before being awarded tenure are required to meet the criteria for initial appointment to the rank in the workload category to which they wish to change. Such faculty, to be eligible for appointment to tenure, shall have three (3) years of service in the workload category under which the application is made, including the two (2) years immediately prior to the year of consideration.
- G. Change in bipartite or tripartite workload responsibility after tenure. Tenure, once granted, shall not be affected by a change in bipartite or tripartite workload responsibility.
- H. Denial of tenure. Faculty who are not awarded tenure by the end of their mandatory year of review shall be offered a terminal appointment for one additional year of service. A faculty member may stand for tenure prior to the mandatory year of review. In so doing, the candidate may withdraw at any step in the process prior to review by the Chancellor. If the decision of the Chancellor is to deny tenure, the faculty member shall be given a terminal appointment.

Special provisions applying to the integration of former community college faculty:

Former community college faculty who were appointed to the University of Alaska Anchorage under terms of Board of Regents' Policy 04.11.01 may apply for tenure at the rank to which they were appointed on July 1, 1987. To be eligible for tenure, a faculty member must present evidence of successful service in all areas specified in the faculty member's workload agreements during the years prior to being considered for tenure and the workload agreement in effect during the year of review for tenure.

For the purpose of review for tenure and promotion, the awarding of a continuing appointment shall be deemed evidence of "successful" years of service for those years prior to July 1, 1987.

In accordance with Board of Regents' Policy 04.11.01, and the Regents' Policies relating to appointment, review, promotion, tenure, and sabbatical leave approved on September 23, 1988, former community college faculty must stand for tenure no later than the 1993-94 academic year. If tenure is not awarded, the faculty member shall be offered a terminal appointment for one additional year of service. A faculty member may elect to stand for tenure at any time prior to the 1993-94 academic year. In so doing, the candidate may withdraw at any step in the process prior to review by the Chancellor. If the decision of the Chancellor is to deny tenure, the faculty member shall be offered a terminal appointment.

Special provision applying to former UAA faculty:

Time in rank of instructor on or after July 1, 1989 shall count toward tenure. Tenure may be awarded to faculty holding the rank of instructor.

Initial Appointment: Tripartite Academic

The criteria listed below are intended as the minimum for determining eligibility for initial appointment. However, it is specifically recognized that university programs may require faculty whose education and/or experience may be different from the stated criteria. Exceptions to the minimum time in rank, or terminal degree, or experience qualifications for rank must be fully justified through all review levels. The basis for exception shall be outstanding academic performance and/or outstanding professional experience.

Instructor

Competence in the profession or discipline and the ability to effectively communicate training and subject matter to others. Appointees will hold minimum credentials appropriate to the discipline, such as professional certifications or licensure or appropriate academic degrees.

Assistant Professor

Terminal degree in the discipline or appropriate field **and** evidence of a potential for successful teaching, service, and research/creative activity.

Associate Professor

Terminal degree in the discipline or appropriate field **and** five (5) years of successful performance at the rank of

assistant professor, including evidence of accomplishment in the area of research/creative activity.

Professor

Initial appointment to the rank of professor is an extraordinary event. A professor may be appointed based on exemplary academic performance. Terminal degree in the discipline or appropriate field and national or international reputation for excellence within the discipline or field as demonstrated by evidence of outstanding performance in teaching, service, research/creative activity **or** a national or international reputation for excellence within the discipline or field relevant to the proposed assignment may be grounds for such an appointment.

Initial Appointment: Bipartite Academic

The criteria listed below are intended as the minimum for determining eligibility for initial appointment. However, it is specifically recognized that university programs may require faculty whose education and/or experience may be different from the stated criteria. Exceptions to the minimum time in rank, or terminal degree, or experience qualifications for rank must be fully justified through all review levels. The basis for exception shall be outstanding academic performance and/or outstanding professional experience.

Instructor

Competence in the profession or discipline and the ability to effectively communicate training and subject matter to others. Appointees will hold minimum credentials appropriate to the discipline, such as professional certifications or licensure or appropriate academic degrees.

Assistant Professor

Master's degree in the discipline or appropriate field **and** two (2) years of documented successful teaching and service.

Associate Professor

Master's degree in the discipline or appropriate field **and** eight (8) years of successful teaching and service in an appropriate institution of higher education and evidence of professional development in the area of teaching or pedagogically related activities or creativity. Up to three (3) years of programmatic graduate study beyond the master's degree in an appropriate discipline may be substituted in partial fulfillment of the eight (8) years requirement.

Professor

Initial appointment to the rank of professor is an extraordinary event. A professor may be appointed based on exemplary academic performance **and** terminal degree in the discipline or appropriate field **and** evidence of outstanding teaching or teaching related activity as evidenced by recognition by peers outside the institution, such as national or international awards for teaching or innovation in teaching, or the development of pedagogical materials adopted for use at other institutions of higher education **or** a national or international reputation for excellence within the discipline or field relevant to the proposed assignment may be grounds for such an appointment.

Initial Appointment: Bipartite Vocational Education

The criteria listed below are intended as the minimum for determining eligibility for initial appointment. However, it is specifically recognized that university programs may require faculty whose education and/or experience may be different from the stated criteria. In special cases, 5-year degrees or certified advanced professional competency may be substituted for advanced degrees. Exceptions to the minimum time in rank, or terminal degree, or experience qualifications for rank must be fully justified through all review levels. The basis for exception shall be outstanding academic performance and/or outstanding professional experience.

Instructor

Competence in the profession or discipline and the ability to effectively communicate training and subject matter to others. Appointees will hold minimum credentials appropriate to the discipline, such as professional certifications or licensure or appropriate academic degrees.

Assistant Professor

Bachelor's degree in the discipline or appropriate field **and** two (2) years of documented successful teaching and/or related work experience beyond the apprentice level in an area directly related to the faculty appointment.

Associate Professor

Master's degree in the discipline or appropriate field **and** three (3) years of documented successful teaching **or** Bachelor's degree plus 30 semester hours of systematic study in a closely related

discipline area, at least 15 of which are at the graduate level, or an equivalent amount of professional/technical recurrent training at an appropriate level **and** five (5) years of documented professional experience beyond the apprentice level in an area directly related to the faculty appointment.

Professor

Initial appointment to the rank of professor is an extraordinary event. A professor may be appointed based on exemplary academic performance **and** Master's degree in vocational education or other appropriate field **and** six (6) years of outstanding documented teaching and/or professional experience beyond the apprentice level in an area directly related to the faculty appointment **or** a national or international reputation for excellence within the discipline or field relevant to the proposed assignment may be grounds for such an appointment.

Promotion: Tripartite Academic

The criteria listed below are intended as the minimum for determining eligibility for consideration for promotion. However, it is specifically recognized that university programs may require faculty whose education and/or experience may be different from the stated criteria. Exceptions to the minimum time in rank, terminal degree, or experience qualifications for rank must be fully justified through all review levels. The basis for exception shall be outstanding academic performance and/or outstanding professional experience.

Assistant Professor

Meet criteria for initial appointment to assistant professor.

Associate Professor

Meet criteria for initial appointment to associate professor **or** terminal degree in the discipline or appropriate field **and** demonstrated evidence of successful college-level teaching, service, and research/creative activity **and** five (5) years at the rank of assistant professor, of which three (3) must be at UAA.

Professor

Terminal degree in the discipline or appropriate field **and** evidence of exemplary teaching, service and research/creative activity **and** five (5) years at the rank of associate professor, of which three (3) must be at UAA.

Promotion: Bipartite Academic

The criteria listed below are intended as the minimum for determining eligibility for consideration for promotion. However, it is specifically recognized that university programs may require faculty whose education and/or experience may be different from the stated criteria. Exceptions to the minimum time in rank, terminal degree, or experience qualifications for rank must be fully justified through all review levels. The basis for exception shall be outstanding academic performance and/or outstanding professional experience.

Assistant Professor

Meet criteria for initial appointment to assistant professor. ***

Associate Professor

Meet criteria for initial appointment to associate professor **or** Master's degree in the discipline or appropriate field **and** documented evidence of successful college-level teaching and service **and** five (5) years at the rank of assistant professor, of which three (3) must be at UAA. ***

Professor

Terminal degree in the discipline or appropriate field. A Master's degree in the discipline or appropriate field shall be considered the terminal degree for former community college faculty who transferred to the University of Alaska Anchorage under terms of Board of Regents' Policy 04.11.01 July 1, 1987, **and** evidence of exemplary teaching and service **and** five (5) years at the rank of associate professor, of which three (3) must be at UAA. ***

Promotion: Bipartite Vocational Education

The criteria listed below are intended as the minimum for determining eligibility for consideration for promotion. However, it is specifically recognized that university programs may require faculty whose education and/or experience may be different from the stated criteria. In special cases, 5-year degrees or certified advanced professional competency may be substituted for advanced degrees. Exceptions to the minimum time in rank, terminal degree, or experience qualifications for rank must be fully justified through all review levels. The basis for exception shall be outstanding academic performance and/or outstanding professional experience.

Assistant Professor

Meet criteria for initial appointment to assistant professor **or** associate degree and competency-based professional credentials signifying recognized authority status in the field **and** documented evidence of successful teaching and service **and** two (2) years at the rank of instructor. ***

Associate Professor

Meet criteria for initial appointment to associate professor **or** master's degree or bachelor's degree plus 30 semester hours of systematic study, at least 15 of which are at the graduate level, or an equivalent amount of professional/technical recurrent training at an appropriate level **and** documented evidence of successful teaching and service **and** five (5) years at the rank of assistant professor, of which three (3) must be at UAA. ***

Professor

Master's degree in Vocational Education or other appropriate field **and** evidence of exemplary teaching and service **and** five (5) years at the rank of associate professor, of which three (3) must be at UAA. ***

*** *Calculating "time in rank" for years of service as a former community college faculty member shall be as follows: total years in lanes A and B shall count for time in rank as instructor; total years in lane C shall count for time in rank as assistant professor; total years in lanes D and E shall count for time in rank as associate professor.*

Review Process**A. Roles of Schools and Colleges**

1. School and college faculties will determine specific qualitative criteria consistent with Board of Regents' and UAA policies for appointment, retention, and promotion to each faculty rank and for tenure.
2. School and college faculties will establish school and college peer review processes, consistent with Board of Regents' and UAA policies, for faculty appointment, retention, promotion, and tenure recommendations and decisions.
3. Schools and colleges will submit qualitative criteria and review processes to the University-Wide Faculty Evaluation Committee and the Vice Chancellor for Academic Affairs for review and approval.

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4. Schools and colleges will initiate faculty peer review and supervisory processes for initial appointments, workload description determinations and changes, and promotion and tenure decisions.
- B. Appointment Process and Workloads
1. New Faculty Appointments. Job descriptions, rank determination, and the bipartite or tripartite workload responsibility shall be determined through consultation between the discipline/department faculty and the responsible administrator(s).
 2. Job descriptions, appointments, and workloads will be consistent with and contribute to school or college, departmental, and program missions developed in consultation with the faculty.
- C. Evaluation Process
1. Faculty members subject to evaluation reviews or eligible for promotion or tenure reviews will be notified by the Vice Chancellor for Academic Affairs (or designee) in advance to allow compilation of relevant review materials.
 2. Evaluation reviews will be based on each faculty member's performance in those areas of responsibility specified in the individual workload agreements and workload category apportionment for the review period.
 3. Non-tenured faculty will be reviewed for retention annually. Tenured faculty will be reviewed periodically, but not less frequently than every three years.
 4. The primary evidence for evaluation reviews will be contained or entered into the faculty member's evaluation file. The file will be maintained by the dean or director (or designee) in cooperation with the faculty member.
 5. The faculty member will have access to all information used in the evaluation, be notified of all recommendations, and have rights of rebuttal and appeal. There will be an opportunity to submit a written response to the recommendation at each review level for consideration at the next level of review, and an opportunity to appeal a negative decision by a dean or director regarding reappointment or a negative decision by the Chancellor regarding promotion or tenure, in the manner provided by the appeal policy contained elsewhere in this policy.
6. Reviewers at each level will provide copies of their recommendations to all previous levels of review, as well as to the faculty member under consideration.
 7. Steps in the review process will be as follows:
 - a. Reappointment (and periodic reviews where applicable)
 - (1) Peer review(s) and chair/supervisor (if applicable), in the order established by the school or college.
 - (2) Dean or Director
 - b. Promotion and tenure reviews
 - (1) Peer review(s) and chair/supervisor (if applicable), in the order established by the school or college.
 - (2) Dean or Director
 - (3) University-Wide Faculty Evaluation Committee
 - (4) Vice Chancellor for Academic Affairs
 - (5) Chancellor
 8. The calendar for the review process will be developed annually by the Office of the Vice Chancellor for Academic Affairs.
- D. Faculty Evaluation Files
1. The evaluation file for non-tenured faculty members subject to retention reviews and for tenured faculty members subject to periodic reviews must include, but is not limited to:
 - a. Workload agreement(s) for the review year(s),
 - b. Annual activity reports,
 - c. Self-review, including objectives for the current year,
 - d. Current vita,
 - e. For non-tenured faculty, copies of all past reviews; for tenured faculty, copy of last review (other reviews available upon request),
 - f. Student course evaluation summaries for the review year(s),
 - g. Course syllabi for the review year(s), and
 - h. Verification of certificates, licenses, degrees, and courses.
 2. The evaluation file for faculty members who are candidates for promotion or

tenure is cumulative and must, in addition, include:

- a. Further documentation of research/creative activity, teaching, and service corresponding to applicable workload agreements,
- b. Letters of recommendation from both internal (UAA) and external peers, and
- c. Copies of all review files since initial appointment for tenure review and/or copies of all review files since previous promotion or initial appointment, whichever applies.

E. Peer Review Committees

1. All peer review committees in schools and colleges will be established through a process agreed upon by the faculty members of the schools and colleges.
2. Promotion peer review committees in schools and colleges will consist of faculty members who are at or above the rank to which the candidate seeks promotion. Tenure peer review committees in schools and colleges will consist of tenured faculty members. Both conditions must be met when a faculty member is a candidate for both promotion and tenure.
3. The Faculty Senate shall establish one University-Wide Faculty Evaluation Committee consisting of a total of fifteen (15) tenured full professors, five (5) from each workload category (bipartite vocational, bipartite academic, and tripartite academic). No more than two (2) may be from an individual school or college. Tenured associate professors may be elected if there is an insufficient number of full professors to staff the committee.
The committee shall establish subcommittees composed of committee members for the purposes of evaluation of individual faculty. Each subcommittee shall include a majority of representatives from the same workload category as the faculty member being evaluated and at least one member from each of the other tracks.
4. The principal responsibilities of the University-Wide Faculty Evaluation Committee are:
 - a. To review school and college evaluation criteria and processes for

consistency with Board of Regents' and University Policies, and to make recommendations to the Vice Chancellor for Academic Affairs for any needed changes.

- b. To review the recommendations of school and college peer review committees and of deans and directors for their consistency with Board of Regents' and University Policies and with the requirements adopted by the schools and colleges.
- c. To make recommendations on faculty promotion and tenure to the Vice Chancellor for Academic Affairs.

F. Appeals (Exclusive process for reconsideration of reappointment, promotion, and tenure decisions.)

The Faculty Senate shall establish a Faculty Evaluation Appeals Committee of five (5) tenured faculty members, elected by the faculty for one (1) year terms. No one on a promotion and tenure committee at a prior level and no one standing for promotion or tenure is eligible to serve on the committee. To the extent that it is not inconsistent with this policy, the Faculty Evaluation Appeals Committee will operate according to the UA grievance procedures as contained in Board of Regents' Policy and University Regulations.

A faculty member denied reappointment may seek reconsideration of the dean's or director's decision by appealing to the Faculty Evaluation Appeals Committee. After reviewing the matter, the committee will make a recommendation to the dean or director. The dean's or director's final decision may be appealed to the Vice Chancellor for Academic Affairs only where the dean's or director's final decision is inconsistent with the recommendation of the Faculty Evaluation Appeals Committee.

A faculty member denied promotion or tenure may seek reconsideration of the decision by appealing to the Faculty Evaluation Appeals Committee. After reviewing the matter, the committee will make a recommendation to the

Chancellor. The Chancellor's final decision may be appealed to the President only in cases of denial of tenure or denial of promotion to full professor and where the Chancellor's final decision is inconsistent with the recommendation of the Faculty Evaluation Appeals Committee.

N.B. - By provision of Articles 6.1 and 6.5 of the collective bargaining agreement between the ACCFT and the University of Alaska, the above stated appeals process "...shall not apply to Faculty Members" (bargaining unit faculty). The exclusive review process for bargaining unit faculty is the grievance procedure set forth in Article 4 of the collective bargaining agreement.

**GUIDELINES FOR REVISIONS TO COLLEGE/SCHOOL CRITERIA AND PROCEDURES FOR
PROMOTION, TENURE, AND RETENTION REVIEWS**

1. All changes should be accompanied by a cover letter stating who is submitting the proposed changes.
2. Include documentation that the college/school has followed appropriate procedures and that the college/school faculty have approved the proposed revisions.
3. A copy of the entire document should be included showing new/changed text in bold text or in parentheses and noting what it will be replacing. Ease of reading will increase the committee's ability to respond quickly to proposed changes.
4. Include page numbers on all documents.
5. All revisions must be approved by the end of the spring semester for implementation the following fall. Proposed revisions should be submitted to the UFEC by February 15 of the year during which they are to be implemented. If new criteria and procedures are not approved by the end of the spring semester, the former criteria and procedures will be used for the next academic year.
6. After recommending proposed changes, the UFEC forwards their recommendations to the Provost.
7. UA and UAA policies and procedures always supersede college/school policies and procedures; therefore it is not necessary to reiterate them.

Approved by:
Faculty Senate
Provost Beverly Beeton
Chancellor Donald F. Behrend

**UAFT UNIVERSITY OF ALASKA ANCHORAGE
FACULTY WORKLOAD AGREEMENT**

ACADEMIC YEAR 2008-2009

Name _____ Current Rank/Discipline _____
(i.e., Associate Professor of
Chemistry)
School/College _____

WORKLOAD TYPE: _____ Bipartite Academic _____ Bipartite Vocational _____ Tripartite
Academic

In the left-hand column, enter the portion of the annual faculty five-part workload attributable to the teaching, service, research/creative activities and administrative/alternate assignment (the total annual faculty workload should total 5 parts).

_____ **TEACHING COMPONENT:**

	Course No.	Title	Credits
FALL	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
SPRING	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

_____ **SERVICE COMPONENT** (professional, university, community)

FALL _____

SPRING _____

RESEARCH/CREATIVE ACTIVITY COMPONENT

FALL

Extramurally funded (source, problem, topic or activity and percent of teaching time to be bought out) _____

University (problem/topic/activity) _____

SPRING

Extramurally funded (source, problem, topic or activity and percent of teaching time to be bought out) _____

University (problem/topic/activity) _____

ADMINISTRATIVE OR ALTERNATE ASSIGNMENT (Department Chair, program director, program development, etc.)

FALL _____

SPRING _____

Is an overload assignment anticipated? Yes _ No ____ If so, please explain: _____

____ **Total Annual Faculty Workload**

Faculty Member's Signature

Date

Chair/Supervisor Signature

Date

Dean's Signature

Date

**UNITED ACADEMICS UNIVERSITY OF ALASKA FACULTY WORKLOAD
ACADEMIC YEAR 2008-2009**

Faculty Member: _____ Rank: _____

MAU/School/College: _____ Department: _____

In the determination of the workload for this faculty member (attached), I considered the workload proposal from the faculty member and the department head/chair in light of the following definitions and workload factors provided in Article 13 of the collective bargaining agreement between the University of Alaska and United Academics – AAUP/AFT:

A. Definitions

Teaching activity: classroom, studio, laboratory, and distance delivery instruction in regular academic courses with assigned contact hours; development and coordination of special undergraduate and graduate seminars; preparation of student materials for classes; preparation of a new course or substantial revision of an older course; general advising of undergraduate students; supervision of student mentorships; supervision of graduate student theses, dissertations, and research/creative projects; supervision of undergraduate theses and research/creative projects; supervision of directed study through individualized courses; non-credit educational programs on-campus or elsewhere; and other activities benefiting students' academic development.

Research/creative activity: all professional activities leading to publication, performance or formal presentation in the unit member's field, or leading to external funding recognizing the unit member's current or potential contribution to their field. Such activities include: manuscript submission; grant proposal submission; supervision of externally funded research projects; development of patentable inventions; additions to a portfolio; and other original contributions appropriate to the unit member's field.

Service:

Public service: in organized, non-remunerative, educational and consultative activities, which devolve from a unit member's professional expertise and further the interests or prestige of the university.

University service: as department head, program director, or governance officer; on administrative and governance committees; in United Academics as a member of a committee, joint labor-management committee or task force established by this Agreement; and other tasks as deemed necessary by the university; and

Professional service: on grant, journal, or accreditation review boards, or as an ad hoc reviewer, in the unit member's area of expertise; as an officer in a professional society; organizing and/or chairing conferences, symposia, seminars, etc.; teaching short courses, seminars, etc. that are not regular academic courses; editing journals, books, special volumes of papers, etc.

B. Factors

Accountability; historical workloads; the missions and goals of academic units, including unit criteria developed for the evaluation of faculty; the level, duration, and mode of delivery of a workload activity; the requirements of externally funded contracts and grants; and whether an activity requires individual or group activity of extended contact hours.

C. Other Factors (please list)

Signature of Dean/Director

Date

**UNIVERSITY OF ALASKA
FACULTY WORKLOAD
ACADEMIC YEAR 2008-2009**

Faculty Member: _____ Rank: _____

MAU/School/College: _____ Department: _____

Fall Semester 2008

▪ **Teaching Activity**

Workload Units:

▪ **Research/Creative Activity**

Workload Units:

▪ **University and Public Service Activity**

Workload Units:

Total Fall Semester Workload Units: _____

Signature of Dean/Director

Date

Signature of Faculty Member

Date

**UNIVERSITY OF ALASKA
FACULTY WORKLOAD
ACADEMIC YEAR 2008-2009**

Faculty Member: _____ Rank: _____

MAU/School/College: _____ Department: _____

Spring Semester 2009

▪ **Teaching Activity**

Workload Units:

▪ **Research/Creative Activity**

Workload Units:

▪ **University and Public Service Activity**

Workload Units:

Total Spring Semester Workload Units: _____

Total Academic Year Workload Units: _____

Overload Workload Units (if any): _____

Signature of Dean/Director

Date

Signature of Faculty Member

Date

**UNIVERSITY OF ALASKA
FACULTY WORKLOAD
ACADEMIC YEAR 2008 - 2009**

Faculty Member: _____ Rank: _____

MAU/School/College: _____ Department: _____

Summer/Additional Assignment 2009

▪ **Teaching Activity**

Workload Units:

▪ **Research/Creative Activity**

Workload Units:

▪ **University and Public Service Activity**

Workload Units:

Total Summer/Additional Workload Units: _____

Signature of Dean/Director

Date

UNIVERSITY OF ALASKA ANCHORAGE
ANNUAL ACTIVITY REPORT FORM

ACADEMIC YEAR _____

Name _____ Current Rank/Discipline _____
(i.e., Associate Professor of Chemistry)
School/College _____

Attach a current Vitae

TEACHING

1. List all courses taught during the Fall, Spring and Summer Semesters immediately prior to this review.

SEMESTER	COURSE	NO/TITLE	CH	LEVEL	REQ/ELECT	CONTACT HRS
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2. List all INFORMAL teaching activities, including advising, graduate committee, membership, etc.

3. List any other teaching activity, accomplishments, or achievements that should be included.

HONORS and PROFESSIONAL DEVELOPMENT

1. List all honors or recognitions.

2. List all professional development.

Signature of Faculty

Signature of Dean

Date

Date

CHAPTER IV: FUNDING SOURCES

FACULTY DEVELOPMENT GRANT AND RESEARCH TRAVEL GRANT

FACULTY DEVELOPMENT AND RESEARCH TRAVEL GRANTS

Faculty Development Fund Guidelines

The Faculty Development Fund exists to aid the growth and development of individual faculty members at this institution. Project proposals may involve creative activity, research, writing, training and study, and program development. Projects are ranked and funded on the basis of their merit.

Historically, the Awards Committee has given low scores to applicants for equipment or supplies not directly related to the specific development project. When a project proposal is contingent on the candidate's acceptance into an institute or seminar, a letter of support from the sponsoring organization is required before funds will be released. The Faculty Development Fund is not designed to recognize or compensate teaching activities.

In addition to the institutionally sponsored Faculty Development Fund, there are opportunities for research and development support external to the university. The Associate Vice Provost for Research in the Office of Academic Affairs has information regarding these possibilities, as does the Consortium Library. Call (907)-786-1921 with questions.

Eligibility and Fund Limitations

- A. All proposals must be submitted by a full-time faculty member(s).
- B. For any one faculty member, no more than \$3,000 will be awarded for monies spent for account codes 1000 and 3000 combined and no more than \$2,000 spent for account codes 2000 and 4000 combined. The total amount awarded for any one faculty member may not exceed \$4,500 per fiscal/academic year.

Account Codes	
1000	Personal Services
2000	Travel
3000	Contractual Services
4000	Commodities
\$4,500	Limit

Note: Personal services must include benefits, and travel expenses are limited to direct transportation expenses. **Per diem expenses for food and lodging are not allowed.**

- C. A faculty member may apply for more than one award in a fiscal year as long as the totals for each object code do not exceed the limitations noted above in item B.
- D. Joint proposals may be submitted; however, all funds must be charged against the limits of a faculty member. Joint proposals should be presented as a complete unit. For example, a joint proposal could charge \$2,500 in personal services to faculty member A and \$3,000 to faculty member B. A joint proposal could *not* pay \$1,500 in salary to faculty member A and \$4,000 in salary to faculty member B, although it could pay \$5,500 to one research assistant to help both faculty members.
- E. Faculty members may apply for funding in both the research travel and faculty development categories but can be funded for the same purpose from only one funding source. Anyone receiving travel money under this program may not receive travel money from the Research Travel Fund to meet the goals of the same proposal.
- F. Faculty are not eligible to personally receive salary money from the Faculty Development Fund during the time they are on sabbatical leave. However, a faculty member may receive funds from account code 1000, for example, to hire research assistants.

Evaluation Committee

- A. The Faculty Grants and Leave Committee will serve as the evaluation committee.
- B. The evaluation committee is seated from September 1 through August 31, with the expectation that members would serve for one full year, but never less than six (6) months (i.e., from September 1 to February 1, or from February 1 to August 31). Committee members who refuse to serve for at least six months should be considered ineligible for an award for at least one full year.
- C. No evaluator may serve on a committee deciding the granting of funds during the funding period in which the evaluator or a member of the evaluator's immediate family has a funding proposal under consideration. No evaluator may serve on a committee deciding the granting of funds during the funding period a proposal is submitted by a faculty member with whom the evaluator is

doing collaborative work directly related to the said proposal. Prior to the first meeting of each academic year, a representative pool of past FGLC members will be compiled by the Office of Academic Affairs. The pool will be used to select appropriate substitutes to replace FGLC members who are unable to attend scheduled meetings due to a conflict of interest or for other reasons. The committee chair will select representative substitute(s) from the pool.

- D. Administrative Services should facilitate budgeting transfers among account codes 1000, 2000, 3000 and 4000 if expenditures do not achieve the approximate pattern which follows:

1000	Personal Services	64.0%
2000	Travel	6.0%
3000	Contractual Services	12.4%
4000	Commodities	<u>17.6%</u>
	TOTAL	100.0%

Process for Committee Considerations of Faculty Development Fund Proposals.

- A. Proposals for Faculty Development Fund grants will stand on their own merit. Questions will not be addressed to applicants nor will applicants be invited to make presentations.
- B. Faculty Development proposals will be considered at a public meeting specifically called for that purpose. A quorum for the meeting(s) shall consist of two-thirds of the members of the whole committee.
- C. All committee members will review the proposals prior to the meeting(s).
- D. Each member will fill out the rating sheet and then rank the proposals from the highest raw score to the lowest.
- E. The initial member rankings will be submitted to Faculty Services in the Office of Academic Affairs two days prior to the meeting. The individual member's rankings will be combined to produce the initial committee ranking.
- F. The committee members will examine the ranked list of Faculty Development proposals at the public meeting called for that purpose.
- G. The committee, by a majority vote of members present, may identify a proposal as unacceptable and, therefore, to be withdrawn from further consideration. In this case, the reasons for this view will be conveyed to the author of the rejected proposal.

- H. The committee, by a two-thirds vote of members present, may decide to accept the initial ranking as final. If this occurs, steps I to J will be omitted. Failing by a two-thirds vote, the committee will proceed to step I.
- I. The committee will discuss each proposal, and discussion will be limited to ten minutes each.
- J. Upon completion of discussion of the proposals, the committee members will individually rank all proposals. These individual rankings will be combined to produce a committee rank.
- K. Upon the completion of the ranking, the committee chairperson will transmit the committee ranking and a list of unacceptable proposals to the Provost for final award of funds. That list shall be transmitted to the Faculty Senate as part of the record of committee action.
- L. The committee shall maintain a record of its proceedings and shall keep all records of rankings.

Application and Funding Process

- A. Applications should be submitted to the Office of Academic Affairs.
- B. Two grant rounds shall be established in each fiscal year, from July 1 through December 31, and from January 1 through June 30. Not more than fifty percent of the available funds shall be awarded during the first granting round.

NOTE: For Round I funds, all expenditures must be complete and processed during the July 1 – December 31 funding period, including travel. Any Round I funds remaining on December 31 will be redistributed with the Round II funds. Round II funds must be encumbered and travel completed by June 30, or funds will lapse.

- C. Deadlines shall be set to allow timely consideration of proposals and, once set, they should be met. Deadlines are October 15 and March 15. Announcements are made no later than four weeks after the submission deadline.
 - Round I: July 1 – December 31
Deadline is March 15
 - Round II: January 1 – June 30
Deadline is October 15
- D. Successful applicants are required to submit a report on the results of work within three months of the completion of this work.

E. Applications must include the following information:

1. Cover sheet
2. Applicants will prepare an abstract of no more than 100 words. The abstract will conform to an exact format provided with the application form. Its purpose is twofold. It assists the reviewers by providing a synopsis of the proposed project and is copied into a file of "Faculty Development Grants Recently Funded." This file will be made available by the Office of Academic Affairs to any interested faculty.
3. Vitae of all project members
4. The format for proposals should closely follow the Outline and Rating Sheet [*see the end of this chapter*], reflecting the categories and evaluation criteria as indicated. Proposals should be no more than five (5) pages in length, excluding the cover sheet, vitae, and supplementary attachments. Proposals should be written so that they are easily understood by colleagues from a wide variety of disciplines.

F. Addendum to Cover Sheet for Faculty Development Funds. Briefly, the following restrictions (as formulated by the Faculty Senate) pertain:

1. Faculty members may apply for funding in both the research travel and faculty development categories but can be funded for the same purpose from only one funding source. Anyone receiving travel money under this program may *not* receive for travel money from the Research Travel Fund to meet the goals of the same proposal.
2. No more than \$3,000 will be awarded in the account codes 1000 and 3000 *combined*. No more than \$2,000 can be spent on account codes 2000 and 4000 *combined*. The total grant, per person, cannot exceed \$4,500. There should be no exclusive equipment purchases (limited to the use of the individual) in the proposals. Candidates should indicate how equipment could be of further use to the institution after project completion.
3. Note that faculty salary awarded must include benefits. This means that if the award in the personal services category is \$3,000, a portion of it must be

deducted to cover benefits. (*See example below.*)

4. A faculty member may apply for several Faculty Development grants during a round if the total amount requested does not exceed \$4,500.
5. Travel expenses are limited to direct transportation expenses with no allowance for per diem.
6. Grant recipients are required to submit a report on the results of work within three months of the completion of this work. Final reports should include not only the results of the work undertaken and expenditure of funds, but also the impact of the results on the conduct of courses or organized research in the school, college or department, and any showings, performance or publications which resulted by the time of the report.

Due to the change in accounting procedures, successful applicants' grants will be administered by the Office of Academic Affairs/Faculty Services. Grantees should forward requests for expenditures and budget approval to the Faculty Services Coordinator. Project reports should also be forwarded to Academic Affairs upon completion of each grant.

Note that the budget account code 1000 includes salary plus staff benefits. To compute benefits, use the current staff benefit rates.

Please confirm benefit rate with the Human Resources office when calculating benefits for faculty and students receiving salary support from this grant fund.

COVER SHEET FOR FACULTY DEVELOPMENT GRANT PROPOSAL

Please submit completed form as top page of grant proposal through your Dean/Director to the Office of Academic Affairs.

Name(s) _____ Department _____
 _____ Telephone _____
 Rank _____ School/College _____
 E-mail _____ Bipartite/Tripartite: _____
 Title of Project _____

Objectives to be accomplished during this grant request round _____

Duration of Project ___/___/___ - ___/___/___ Duration of Salary Support ___/___/___ - ___/___/___

Summer session teaching appointment? Yes [] No []

Continuation of previous grant activity? Yes [] No []

If yes, please describe project name and portion/stage of work already completed _____

Identify other financial support for this activity from your school, department, or other sources _____

List the titles of past UAA proposals and the amount funded by Research Travel Grants, Faculty Development, and/or sabbatical leave _____

Were the results presented to the Provost? Yes [] No [] Vita Attached? Yes [] No []
 If "No", the results must be presented to the Provost before one is eligible for additional funding.

Funding Level Required	Faculty Member No. 1	Faculty Member No. 2	Faculty Member No. 3
Total Personal Services – (1000)			
Salary – (1605)			
Benefits – (1970)			
\$ awarded this FY			
Travel – (2000)			
\$ awarded this FY			
Contractual – (3000)			
\$ awarded this FY			
Commodities – (4000)			
\$ awarded this FY			
SUBTOTAL: 1000 + 3000			
SUBTOTAL: 2000 + 4000			
TOTAL			

 Dean/Extended College Director Signature

 Date

Please provide an abstract and other information as indicated in the space below. This abstract will become public information, disseminated by the Office of Academic Affairs, if the proposal is funded. Use minimum 10-point size font. Do not type outside the boxed space. [Note: an ideal abstract or summary will contain about one sentence each: overall rationale, specific purpose, method, anticipated outcome, implications].

Project Title:		
Funding period:	/ /	to / / ; Amount: \$
Principal investigator:		
Location:	Phone:	Fax:
Collaborators:		
Summary:		

OUTLINE AND RATING SHEET FOR FACULTY DEVELOPMENT FUND PROPOSALS

In order to provide for the fair and equitable selection of the most meritorious professional development grants for support, the University of Alaska Anchorage has established criteria for their review and evaluation. These criteria are intended to be applied to all proposals in a balanced and judicious manner, in accordance with the objectives and content of each proposal.

1. Intrinsic Merit of the Proposal (30 possible points)

- a. (5 pts.) **Description.** The description of the project is clear and understandable in “lay” language and clearly identifies the goal(s). (0-5) _____
- b. (10 pts.) **Significance of the project.** The proposal makes a compelling case for the importance of the project. (0-10) _____
- c. (5 pts.) **Knowledge of similar projects.** Applicant shows knowledge of similar projects in the field and demonstrates the distinct contribution this project will make. (0-5) _____
- d. (10 pts.) **Impact.** Project demonstrates likelihood that it will have a substantial benefit for the faculty member’s professional development. (0-10) _____

2. Viability of the Proposal (25 possible points)

- a. (10 pts.) **Methodology/Plan/Objectives.** Applicant sets out a realistic approach and reasonable plan for timely accomplishment of the stated goals. Objectives that are likely to meet the identified goals are set out. (0-10) _____
- b. (10 pts.) **Budget.** Detailed budget is presented with justification for expenses including salary requests. The budget details an appropriate use of funds. Identifies all other sources of funding in support of this project. (0-10) _____
- c. (5 pts.) **Performance Competence.** Applicant demonstrates capability and likelihood of accomplishing stated goals. (0-5) _____

3. Other (20 possible points)

- a. (10 pts.) **“Seed” Money.** For newly appointed faculty in their first two years at UAA or for **major** new directions in professional growth for established faculty members. Indicate month and year of initial faculty appointment. (0-10) _____
- b. (10 pts.) **Presentation of Proposal.** Follows correct format; information is complete (each item in the outline is addressed); appropriate length; includes documentation, cover sheet, and vitae; written in clear, understandable, “lay” language for individuals in any discipline to understand; uses correct grammar and spelling. (0-10) _____

Total Score (0-75) _____

RESEARCH TRAVEL GUIDELINES

Eligibility of Fund Limitations

- A. All proposals must be submitted by a full-time faculty member, although a faculty member may request funds for travel of a student or research assistant. All student research travel must be shown to clearly support the research effort of the faculty member submitting the proposal.
- B. Research Travel funds have been divided into two distinct categories for disbursement.
1. *Category 1* -- Funds for travel to meetings for the purpose of presenting papers or actively participating in workshops, etc., for the PRESENTATION of research and/or creative activities.
- The Office of Academic Affairs will review all Category 1 applications and compile separate lists of those which do and do not meet established Research Travel guidelines and submit those lists to the committee within one week of the deadline.
2. *Category 2* -- Funds for travel for the acquisition and/or processing of quantitative or qualitative data or samples (i.e., college samples, computer facilities, electron microscope, collection of socio-cultural information, etc.), and funds for travel for the purpose of developing proposals for creative activities and/or research.
- C. Funds will be disbursed from the available pool of funds on a pro rata share of a maximum of \$750 per travel grant. This disbursement will be handled by the Office of Academic Affairs/Faculty Services.
- D. No applicant may receive funds more than one time from any one category each fiscal year.
- E. 1. Travel funds are for reimbursement of transportation expenses only. Such transportation expenses may include (when fully justified) the cost of rental cars. Submissions for airline travel should reflect super-saver fares whenever possible, but coach will be used when that is the only fare available. The maximum airfare that will be reimbursed will be coach class airfare. The Faculty Services Office

will be responsible for obtaining quotes from the airlines for the super-saver air fare to named destinations for all applicants prior to assigning pro rata shares. Expenses for lodging, registration fees, meals, purchases of papers, telephone calls, and similar travel-related expenses are specifically excluded.

2. Travel funds will be disbursed in advance of the travel only for the purchase of transportation tickets. Otherwise, the funds will be distributed on a travel reimbursement basis at the conclusion of the planned travel. Reimbursement requests for travel funds are to include receipts verifying the actual expenses.
- F. Faculty members may apply for funding in both the research travel and faculty development categories but can be funded for the same purpose from only one funding source. Anyone receiving travel money under this program may *not* receive travel money from Faculty Development Funds to meet the goals of the same proposal.

Evaluation Committee

- A. The Faculty Grants and Leave Committee shall be the evaluation committee for Research Travel Grants.
- B. No evaluator may serve on a committee deciding the granting of funds during the funding period in which the evaluator or a member of the evaluator's immediate family has a funding proposal under consideration. No evaluator may serve on the committee deciding the granting of funds during the funding period a proposal is submitted by a faculty member with whom the evaluator is doing collaborative work directly related to said proposal.
- C. Prior to the first meeting of each academic year, a representative pool of past FGLC members will be compiled by the Office of Academic Affairs. The pool will be used to select appropriate substitutes to replace FGLC members who are unable to attend scheduled meetings due to a conflict of interest or for other reasons. The committee chair

will select representative substitute(s) from the pool.

Application and Funding Process

1. Applications should be submitted to the Office of Academic Affairs.
- B. 1. The research travel funds for each category are to be distributed in two time intervals as shown below.

Round I: July 1-December 31.
Deadline dates for submission of proposals will be March 15.
Announcements will be made by April 15.

Round II: January 1-June 30. Deadline dates for submission of proposals will be October 15. Announcements will be made by November 15.

2. Funds not awarded during any granting round shall carry over to the next round. Funds not awarded by April 15 may be transferred to other faculty development accounts by the Provost for Academic Affairs.
3. If by a three-fourths majority the Awards Committee feels that the split between categories or rounds should be changed, it shall have the authority to do so without further review by the Faculty Senate. Such a change requires an affirmative vote of three-fourths of the committee, not three-fourths of those present at a meeting.
- C. Advance and Retroactive Funding
 1. Applicants for funding who were not successful in receiving funds during Round I may apply for retroactive funding during Round II. Any funds available at the end of Round II may be used to fund these retroactive applications.
 2. Faculty may apply for retroactive travel funds provided the travel occurred during the fiscal year in which application is made AND provided the intention to apply retroactively is conveyed to the Provost for Academic Affairs in writing for conveyance to the appropriate evaluation committee *before* the travel is initiated. Applications for retroactive travel funding may be submitted at any time,

but will be reviewed at appropriate times with other applications.

3. Applications for travel in future rounds in the same fiscal year may be made and funded during the deliberations on earlier rounds. Such applications must meet the deadlines for the round in which they are submitted.
- D. Successful applicants are required to submit a report on the results of their travel within three months of the end of the round in which travel was funded. For those presenting a paper, the report shall include a copy of the paper presented and an estimate of the audience size.
- E. If your application for Category 1 Research Travel is funded and you do not present the paper or the paper is not accepted, the funds may not be used.
- F. Application Formats
 1. Category 1:
 - a. Name, rank, department, and school or college.
 - b. Identification of the meeting which is to be attended (or which was attended), including date and location.
 - c. Confirmation that the applicant did or will present a paper at or actively participate in workshops, symposia, colloquia, etc., for the presentation of research and/or creative activities. A program from the meeting or a letter from the meeting organizers may be considered adequate confirmation.
 - d. Detailed cost estimate of the transportation expenses involved for the meeting.
 2. Category 2:
 - a. Name, rank, department, and school or college.
 - b. Identification of the research and/or creative activity to be conducted, proposal to be prepared or funds to be solicited.
 - c. If applicable, confirmation from colleagues with whom the research and/or creative activity is to be conducted.
 - d. Duration of the proposed research and/or creative activity.
 - e. Detailed cost estimate of the transportation expenses involved for the meeting.

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- f. Identification as to whether the research is for continuation of existing research programs.
 - g. Identification of financial support for the research from the applicant's school or department and/or from other sources.
 - h. Description of the results of past proposals funded by UAA in the areas of summer research, research travel, and/or sabbatical.
- G. Addendum to Proposal Application for Research Travel Grant. Briefly, the following restrictions (as formulated by the Faculty Senate) pertain.
- 1. Travel Funds are for reimbursement of travel expenses only. Expenses such as hotel, motel, phone calls and meals are specifically excluded.
 - 2. Reimbursement requests require verifying receipts.
 - 3. Advance disbursement occurs only for purchasing transportation tickets. Remainder of funds will be reimbursed upon completion of travel.
 - 4. Retroactive travel funding is allowable *only* if written intention of application is submitted to the Provost for Academic Affairs in advance of the travel, and it occurs in the same fiscal year.
 - 5. The maximum grant is a pro rata share of \$750, and grantees are encouraged to travel by the least expensive mode (super-savers, etc.). Detailed cost estimate of the transportation expenses are expected.
 - 6. A meeting program or letter from the organizers is sufficient confirmation of attendance.
 - 7. Grants in Category 2 require detailed explanations of the results of past proposals funded by UAA in the areas of summer research, research travel, and/or sabbatical leave.
 - 8. No applicant may receive funds more than one time from any one category each fiscal year.
 - 9. Grantees will submit a report on the results of their travel within three months of the end of the period in which travel was funded.

CHAPTER V: SABBATICAL LEAVE GUIDELINES

SABBATICAL LEAVE GUIDELINES

Basic Purpose of Sabbatical Leave

According to the University of Alaska Board of Regents, sabbatical leaves for professional development may be made available to faculty 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. Sabbatical activities may involve formal or informal study, research or creative activity, or other activities that increase the faculty member's ability to serve the university and the general public through teaching, research and creative activity, and public service. In order to fulfill this basic purpose of professional development, faculty are encouraged to make use of the opportunities presented by sabbatical leave for travel to or residence at a center of scholarly or creative activity, or for collaboration or study with recognized experts in the field. Sabbatical activities may include acquisition of new skills, investigation of new areas of interest, or formal study leading to completion of terminal degrees.

Eligibility for Sabbatical Leave

Faculty members with academic rank may apply for and be granted sabbatical leaves in accordance with the Board of Regents' Policy 04.04.06 and the UAA Sabbatical Guidelines.

Academic rank faculty members who have completed at least four (4) years of service in academic rank positions within the university system may apply for consideration during their fifth (5th) or subsequent year of service for a sabbatical leave to be taken in their sixth (6th) or subsequent year. For faculty members who have taken a sabbatical leave, eligibility for application will be determined in the manner noted above and will be calculated from the date of return from any previous sabbatical leave. Sabbatical leave applications will be considered annually based on a review schedule to be published annually by the Office of Academic Affairs.

Format for Sabbatical Leave Proposals

Sabbatical leave proposals shall be prepared in writing according to the following format: See Sabbatical Application on the [Faculty Services](#) website.

A. Name of candidate.

- B. Eligibility (include length of service, dates and subject of previous sabbatical leaves).
Term of leave requested.
- C. Title and description of proposed study, investigation, or other effort (Limit to five pages exclusive of 3 and 4 below):
 - 1. Description and justification.
 - 2. Goals and/or objectives.
 - 3. Schedule (timetable) of activities.
 - 4. Funding information (include specific information on all applications for non-university funds and all other income related to or derived from activities carried out while on leave).
- D. Contributions and/or benefits. (Please discuss each of the following in sufficient detail):
 - 1. What new skills, learning or accomplishments are likely to result from successful completion of the sabbatical?
 - 2. How important are these skills to the professional development of the faculty member?
 - 3. What benefits accrue to the university and to the broader community from application of these skills or accomplishments in future teaching, research or creative activity, and public service?
- E. Necessity of the sabbatical for the proposed activities. (Please discuss in sufficient detail.)
- F. Ability to accomplish objectives of proposal:
 - 1. Current vita.
 - 2. Letters indicating support from collaborating institutions, investigators or individuals.
 - 3. Other supporting documentation.
- G. Optional: Supplementary material (regardless of form...written or otherwise).

Criteria for Evaluating Sabbatical Leave Proposals

- A. Likelihood of applicant to accomplish objectives of planned study or investigation. Is the description of activities logical and complete?
 - 1. Is the requested term of leave sufficient or appropriate for the scope of proposed activities?

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2. Ability to accomplish plans as reflected in vita.
 3. If the proposal assumes cooperation from other institutions or investigators, are letters included indicating their support?
 4. Is the time schedule of proposed activities to increase professional development of the applicant appropriate?
- B. B. Funding information. The applicant for sabbatical leave must demonstrate that the resources, both internal and external, are adequate to fulfill the objectives of the proposal.
 - C. Capability of proposed activities to increase professional development of the applicant.
 1. What new skills, learning, or accomplishments in the areas of faculty development, teaching, research and/or creative activity are likely to result from successful completion of the sabbatical?
 2. What benefits are likely to accrue to the university and to the broader community?
 3. How important are these skills to the professional development of the faculty member?
 4. Is a sabbatical leave necessary in order to undertake the proposed activities?
- F. The committee members will examine the ranked list of sabbatical leave proposals at the public meeting called for that purpose.
 - G. The committee, by a majority vote of members present, may identify a proposal as unacceptable and, therefore, withdraw from further consideration. In this case, the reasons for this view will be conveyed to the Chancellor or designee.
 - H. The committee, by two-thirds vote of members present, may decide to accept the initial ranking as final. If this occurs, steps I and J will be omitted. Failing two-thirds vote, the committee will proceed to step I.
 - I. The committee will discuss each proposal. Discussion of each proposal will be limited to ten minutes.
 - J. Upon the completion of discussion of the proposals (as determined in letter I above), the committee members will individually rank all proposals. These individual rankings will be combined to produce a committee rank.
 - K. Upon the completion of the rankings, the committee chairperson will transmit committee ranking and a list of unacceptable proposals to the Chancellor or designee through the Office of the Provost for Academic Affairs.
 - L. The Chancellor or designee will then make his/her own ranking. If the rank order of the committee differs from that of the Chancellor or designee, the committee and the Chancellor or designee shall meet and attempt to reconcile their differences. The committee and the Chancellor or designee may agree to disagree on any application.
 - M. The committee shall maintain a record of its proceedings and shall keep all records of rankings.

Process for Committee Consideration of Sabbatical Leave

- A. Proposals for sabbatical leave will stand on their own merit. Questions will not be addressed to applicants, nor will applicants be invited to make presentations.
- B. Sabbatical leave proposals will be considered at a public meeting specifically called for that purpose. A quorum for the meeting(s) shall consist of two-thirds of the members of the whole committee.
- C. All committee members will review the proposals prior to the meeting(s).
- D. Each committee member will fill out the rating sheet and then rank the proposals from the highest raw score to the lowest.
- E. The initial member rankings will be submitted to the Faculty Services Coordinator two days prior to the meeting. The individual members' rankings will be combined to produce the initial committee ranking.

Terms of Sabbatical Leaves

Sabbatical leaves for all faculty shall include one or both academic semesters. A maximum of six months' salary will be paid for a two-semester leave and a maximum of 4.5 months' salary will be paid for a one-semester leave.

Human Research Subjects

Sabbatical leave proposals involving research with human subjects should conform to Principles and Procedures of Human Research Subjects approved by the Institutional Review Board. *[See Chapter VI in this Handbook]*

RATING SHEET FOR SABBATICAL LEAVE PROPOSALS

In order to provide for the full and equitable selection of the most meritorious sabbatical leave proposals, the faculty has established criteria for their review and evaluation. These criteria are intended to be applied to all proposals in a balanced and judicious manner, in accordance with the objectives and content of each proposal.

1. Is the description of activities logical and complete? Is the project timetable realistic, clear, and necessary? Is the requested term of leave sufficient or appropriate for the scope of proposed activities? Is funding information complete? If these activities are collaborative, are letters of support included? (“Sabbatical Leave Evaluation Criteria” *items A1, A2, A4, A5, B*).
(0-20) _____

2. What new skills, learning, or accomplishments in the areas of faculty development, teaching, research, and/or creative activity are likely to result from successful completion of the sabbatical? How important are these skills to the professional development of the faculty member? (*Sabbatical Leave Evaluation Criteria” items C1 and C3*).
(0-20) _____

3. What benefits are likely to accrue to the university and the broader community? (*Sabbatical Leave Evaluation Criteria” item C2*).
(0-10) _____

4. Is a sabbatical leave necessary in order to undertake the proposed activities? (*Sabbatical Leave Evaluation Criteria” item C4*).
(0-10) _____

5. What is the ability of the applicant to accomplish plans, as reflected in the vita? (*Sabbatical Leave Evaluation Criteria” item A3*).
(0-10) _____

- Total Score** (0-70) _____

**CHAPTER VI: HUMAN SUBJECTS
RESEARCH:
POLICY AND PROCEDURES**

HUMAN SUBJECTS RESEARCH: PRINCIPLES AND PROCEDURES

The University of Alaska Anchorage, through the Chancellor, Provost and Office of Academic Affairs, has established the Institutional Review Board (IRB) for the protection of human subjects. The IRB is administered by the Office of the Vice Provost for Research and Graduate Studies. To protect the rights, well-being, and personal privacy of individuals; to assure a favorable climate for the conduct of scientific inquiry; and to protect the interests of the University of Alaska Anchorage and its faculty, students, and staff, the policies and procedures described below have been established for the conduct of research involving human subjects.

General Ethical Principles Regarding Research with Human Subjects

The following general principles apply equally to all research involving human subjects or data related to human subjects, whether carried out solely within university resources or with the assistance of extramural funds. The university assumes responsibility for providing procedural guidelines; however, all faculty members, staff, and students who anticipate conducting development, demonstration, or research projects involving human subjects are responsible for familiarizing themselves with the policies and taking the online CITI IRB training course (for research projects).

- A. The University of Alaska Anchorage and the individual members of its faculty, staff, and student body recognize their responsibility for protection of the rights and welfare of human subjects in research.
- B. Appropriate professional attention and facilities shall be provided to insure the safety and well-being of human subjects. No subject in a research activity shall be exposed to unreasonable risk to health or well-being.
- C. No subject will be coerced in any way to participate in a research project, but will do so on a strictly voluntary basis.
- D. The confidentiality of information received from subjects in experiments or respondents to questionnaires shall be fully protected, both during and after the conduct of a research activity, within the limits of the law.
- E. In research involving more than minimal risk or substantial stress or discomfort, such risk, stress, or discomfort shall be carefully explained to the subject before his or her participation; the investigator shall be

satisfied that the explanation has been understood by the subject; and the written consent of the subject, such consent containing the substance of the explanation, shall be obtained and kept as a matter of record. The elements of informed consent are established by the federal government and by the university.

- F. Research involving special subject populations (e.g., persons under the legal age of consent*, other legal incompetents, subjects of questionable competence, prisoners, pregnant women) may be conducted as long as a qualified guardian signs the consent form. **Eighteen years of age in Alaska; for the legal age elsewhere, contact the individual state.*
- A. A request by any subject to withdraw from a research activity shall be honored promptly without penalty or loss of benefits to which the subject is otherwise entitled, within the limits of the research.
- G. Institutional Review Board Functions and Responsibilities
- H. The Institutional Review Board shall recommend, through the Vice Provost for Research, the Provost and the Chancellor, and review on a continuing basis the university policies and procedures regarding the use of human subjects.
- I. The Institutional Review Board shall review and have authority to approve, require modifications to secure approval, or disapprove, all research activities involving human subjects or data related to human subjects that are not low or minimal risk.
- J. Research activities shall be reviewed by the IRB for compliance with established federal regulations (i.e., U.S. Department of Health and Human Services and U.S. Food and Drug Administration) related to the protection of human subjects.
- K. Research covered by these regulations that has been approved by the Institutional Review Board may be subject to further appropriate review and approval or disapproval by officials of the University of Alaska Anchorage. However, those university officials may not approve the research if it has not been approved by the Institutional Review Board. Collaborative research approved by another IRB must also be approved by the UAA IRB.

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- L. The IRB shall provide advice and guidance to investigators regarding the protection of the rights and welfare of human subjects.
 - M. Where necessary, the Institutional Review Board and the Vice Provost for Research shall serve as a referral board for complaints from subjects of research.
 - N. The Institutional Review Board shall require that information given to subjects as part of informed consent is in accordance with federal regulations as indicated in 45 CFR 46 (amended/revised). The code of federal regulations outlining requirements for the protection of human subjects is available at www.uaa.alaska.edu/research/ric/irb/resources.cfm. The IRB may require that information, in addition to that specifically mentioned in 45 CFR 46, be given to the subjects when, in the IRB's judgment, the information would meaningfully add to the protection of the rights and welfare of the subjects. Documentation of that process shall also be required.
 - O. The Institutional Review Board shall notify investigators and the institution in writing of its decision to approve or disapprove the proposed research activity or of modifications required to secure board approval. If the Institutional Review Board decides to disapprove a research activity, it shall include in its written notification a statement of the reasons for its decision and give the investigator an opportunity to respond in person or in writing.
 - P. The Institutional Review Board shall conduct continuing review of research covered by these regulations at intervals appropriate to the degree of risk, but not less than once per year, and shall have authority to observe or have a third party observe the consent process and the research.
 - Q. The board shall have authority to suspend or terminate approval of research that is not being conducted in accordance with the IRB's requirements or that has been associated with unexpected serious harm to subjects. Any suspension or termination of approval shall include a statement of the reasons for the Institutional Review Board's action and shall be reported promptly to the investigator and appropriate officials.
 - R. If a research subject registers a complaint, the investigator shall attempt to relieve the complaint by explanation or by a change of procedure. Written approval is required for

procedural changes. The investigator shall seek approval from the IRB.

- S. It is the responsibility of the IRB to determine that proposals that involve more than minimal risk to human subjects be of sufficient scientific merit to answer the proposed research questions or hypotheses.
- T. It is recommended that all investigators review the IRB website for further explanations and instructions regarding IRB submission at www.uaa.alaska.edu/research/ric/irb/index.cfm.
- U. All Principal Investigators and others involved in doing the research are required to take the online CITI IRB training (see below for web address).

General Procedures for Submitting an IRB Proposal

For submission information, the IRB submission forms, consent and assent form examples and IRB training course, please go to:

www.uaa.alaska.edu/research/ric/irb/index.cfm. Further information and submission instructions are available at this IRB website. For more information, contact the administrator at (907) 786-1099 or anjkt@uaa.alaska.edu.

An IRB training certificate is required for all those participating in human subjects' research. All IRB proposals (regardless of level of review described below) must contain certain documents and information, as described below (included on the electronic proposal form).

Guidelines for the Preparation of an IRB Proposal
Completed IRB Electronic Proposal Form: All proposals require a completed electronic IRB proposal form available at www.uaa.alaska.edu/research/ric/irb/documents.cfm.

Application for Researchers Requesting an Exemption from Full IRB Review (Exempt Review) or an Expedited Review: The same electronic IRB Proposal form is required (see link at A above.) The following sections are required in this submission form:

- A. **Abstract:** All proposals must contain an abstract or summary of the proposed research. The abstract should address the purpose of the study and the proposed methodology.

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- B. **Brief Rationale and Objectives:** All proposals must include an introduction section that outlines the rationale for the study. This introduction should address:
1. The research framework,
 2. Rationale for the study grounded in previous literature, and
 3. The research questions or hypotheses.
- C. **Description of the Population:** This section includes the number of participants and how they are being recruited; criteria for selection; and a rationale for those included and excluded.
- D. **Description of Methodology and Procedures:** This section of the proposal should detail the study's procedures and describe all aspects of interaction with human subjects. This section should contain a description of:
1. The project's procedures and methods of obtaining informed consent, in lay language;
 2. Where the project will be conducted;
 3. How the project will be explained to participants;
 4. How assent will be secured (if minors);
 5. How it will be made clear that participation is voluntary and withdrawal is possible at any time; and
 6. Whether the project will utilize questionnaires, interviews, observations, archival data/records review or focus groups.
- E. **Use of Data/Analysis:** This section should briefly explain how the information gathered from human subjects will be used or analyzed, how confidentiality of data will be maintained, and how will data be recorded and retained.
- F. **Benefits, Costs, Risks, Compensation:** This is a critical section of the IRB proposal. This section should describe fully:
1. Potential risks to subjects (including emotional or physical discomfort or harm, social or financial consequences, etc.);
 2. What may be revealed that is not currently known;
 3. Potential benefits to subjects;
 4. Steps that will be taken to minimize risk; and
 5. Whether compensation will be offered or any financial cost to the participant.
- G. **Participant Consent:** IRB proposals should include a copy of consent forms for adults and/or assent forms for minors.
- H. **Type of IRB Review:** The review requested can be an exempt review, an expedited review or a full IRB review (required meeting of Board).
- I. **Principles for the Conduct of Research in the Arctic:** Explain how the proposal is responsive to these principles.
- J. **HIPPA:** If the research includes private health information, the proposal must indicate how it meets HIPPA requirements.
- K. **Required Reporting of Child Abuse and Neglect and Abuse of Vulnerable Adults:** If the potential exists that the abuse of children or other vulnerable subjects could be uncovered in the course of a study, the proposal and consent form should address whether or not such information is required to be reported.
- L. **Measures/Data Collection Instruments:** Researchers should include a copy of all data collection instruments. If measures are copyrighted, include a description of the instrument with sample questions.
- M. **Letters of Support:** If a study requires the cooperation of an outside agency, hospital, clinic, school, etc. for data collection, a letter of support should be included in the IRB proposal.
- N. **Certificate of IRB Training:** Every IRB proposal requires that the principal investigator submit a certificate. Others directly involved in the research must also submit a certificate of IRB training. The certificate is valid for three years. After that time, all investigators will need to repeat the training.
- Levels of IRB Review**
The Institutional Review Board (IRB) authorizes four levels of review based on the type of research activity. These levels include: (1) Review by the IRB Administrator, (2) Review by Course Instructor, (3) review by the IRB Chair (and one IRB member as needed), and (4) Review by Full Institutional Review Board. The following are general procedures to be followed by researchers when preparing IRB proposals.
1. **Review by the IRB Administrator (for research projects exempt from full IRB review):** Research activities in which the only involvement of human subjects will be in one or more qualifying categories are **exempt**

from full Institutional Review Board review and will be reviewed by the IRB Administrator for approval prior to collection of data. The investigator should submit the IRB proposal electronically (in one MS-Word file) to anjkt@uaa.alaska.edu along with supporting documents such as an IRB certificate of training and letter of support. Other instruments or protocols can be attached to the end of the proposal form. If the IRB Chair or administrator determines that the research does not meet the criteria for an exempt review, but rather an expedited review, the chair will review the proposal, which could include another IRB member at the chair's discretion.

- 2. Review by Course Instructor** Student research activities (below the master's thesis level) which are undertaken as partial fulfillment of course requirements need only be submitted to the course instructor for approval prior to collection of data, **provided the instructor has an approved certification statement for that course on file with the Institutional Review Board.** (*The Certification Form for Instructors can be found at www.uaa.alaska.edu/research/ric/irb/documents.cfm*). The instructor should also include a CITI IRB Training Certificate. An instructor must complete a *Certification Form for Instructors* for each course he/she teaches in which students collect data from human subjects in research projects. Once filed with the IRB, Office of Research and Graduate Studies, the certification will remain in effect for three academic years. No research within this category shall be initiated until written approval has been obtained from the faculty member. Approval by the faculty member indicates that the research involves no more than minimal risk to the human research subjects and is a class project only. If the research activity involves more than minimal risk to the subject(s), the faculty member must refer the project to the Institutional Review Board for the appropriate level of review. All students below the master's thesis level wishing to conduct research activity as a project within a course, for which the faculty member **does not** have an approved Certification Statement on file with the Institutional Review Board, must submit their project to the Board for review and

approval following the procedures described in this section. This requirement applies to all investigators who are conducting research as students of the University of Alaska Anchorage even if the activity is **not** taken for academic credit.

- 3. Review by IRB Chair (for research projects qualifying for an expedited review):** Research activities in which the only involvement of human subjects will be in one or more of eight qualifying categories **are eligible for an expedited IRB review by the IRB Chair.** The chair can elect to have another board member review the proposal as appropriate. The categories of research qualifying for an expedited review appear on the Proposal Form. The investigator should submit the electronic proposal form to the administrator as outlined. If the IRB Chair determines that the research does not meet the criteria for an expedited review, the investigator will be notified that the proposal must be reviewed by the full IRB.
- 4. Review by Full Institutional Review Board (for research projects that do not qualify for exempt or expedited reviews):** All research which does not fall within the exempt or expedited categories will require a full Board review at a monthly board meeting. The proposal will be scheduled for the next available meeting.

Proposals that require a full review should be submitted electronically **two weeks prior to the regularly scheduled Board meeting. The Board meets the third Friday of every month.** More complete meeting information is available on the IRB website. The IRB does not schedule regular meetings during the summer months; however, an investigator may submit a proposal that needs a full review during the summer months. Exempt and expedited reviews are conducted over the summer.

Attendance of the investigator or a designated representative at the board review meeting in which his or her research activity is scheduled for discussion is strongly encouraged.

No research within the purview of the Institutional Review Board shall be initiated until approval has been given.

Levels and Time Limits Pertaining to IRB Approval for all Types of Proposals:

- A. The formal actions taken by the Institutional Review Board will be communicated to investigators in writing following the review and will take one of the following forms:
1. Approval: indicates the researcher may begin data collection and that the project meets the Institutional Review Board standards for human subject research.
 2. Approval Withheld Pending Resubmission to full IRB: indicates approval by the board has been withheld pending revision of specific points. Research may not be undertaken until the outlined revisions are submitted to and approved by the Board.
 3. Approval Withheld Pending Resubmission to the IRB Chair: indicates approval by the Board has been withheld pending revision of specific points, to be approved upon resubmission directly to the IRB Chair (most likely outcome).
 4. Disapproval: indicates the proposed research does not meet the university and/or federal guidelines for the protection of human subjects. The research activity may not be undertaken and will not be afforded university endorsement. The investigator shall have the opportunity to respond in person or in writing to the Board.
- B. Approval of proposed research is usually granted for a period of twelve months, commencing with the date the proposal was first submitted. Based on the degree of risk to human subjects, the Board may grant special conditions whereby the investigator has a shorter approval period or must report research progress at specific intervals. Continuation of projects past the approval period requires resubmission to the Board. **It is the responsibility of the investigator to reapply and obtain the approval of the Institutional Review Board prior to expiration of the approved period.** At least one month prior to the expiration of the approved period, a Progress Report should be submitted to the administrator on the form provided on the IRB website. When the

approved research is being conducted by a student, the faculty member identified on the original proposal as directing the research is responsible for ensuring that the progress report is submitted on schedule or, failing that, for suspending the research activity by the student.

1. The IRB chair will formally notify the investigator of Board action in writing.
2. When the research activity involves an outside agency (e.g., hospital, public school, clinic), the investigator must secure written approval from the appropriate official within the agency prior to receipt of final approval from the Institutional Review Board.
3. If the Institutional Review Board gives the research proposal an Approval Withheld Pending status, the investigator must contact the Board chair regarding the required action within 60 days, or the proposal will be withdrawn from further Board action.
4. Upon completion of the approved research, the investigator is responsible for submitting a Final Report to the administrator. Final reports will be submitted on the forms available on the IRB website. When the research is being conducted by a student under the direction of a faculty member, the directing faculty member is responsible for ensuring that an accurate Final Report has been submitted to the Institutional Review Board prior to awarding credit to the student for completion of the research.

Grievance Procedure

- A. If a research subject registers a complaint, the investigator shall attempt to resolve the complaint by explanation or by a change of procedure.
1. If the research was originally approved by a student's instructor (other than master's thesis research), documentation of the procedural change should be submitted to the faculty member for review. If the faculty member determines that the procedural change remains within the purview of his or her certification, he or she has the authority to approve the change. However, if the faculty member determines the procedural change would place the subjects above "minimal risk", referral to

the Institutional Review Board is required. In such cases, a description of the original project and the procedural changes are required.

2. If the research activity was originally approved by the Institutional Review Board, documentation must be submitted to the administrator for Board action.

INSTRUCTIONS FOR THE PREPARATION OF AN INFORMED CONSENT FORM

The voluntary consent of every participant is an essential condition of any research study involving human subjects. Informed consent reflects the basic principle of *respect for persons* and assures that prospective human subjects will understand the nature of the research and can *knowledgeably and voluntarily* decide whether or not to participate. Voluntary informed consent protects the subject, whose *autonomy* is respected. All researchers have an ethical obligation to ensure that all participants are fully informed about the study prior to the participant's consent and to ensure that this consent is voluntary.

Many individuals connected to the University engage in research involving human subjects. The following points to the importance of obtaining the subject's valid and informed consent and it applies to all involved researchers (for example, research in biology, psychology, or nursing). Although the elements of informed consent (i.e., full disclosure, adequate comprehension, voluntary choice) are easy to enumerate, recent empirical studies suggest they are not so easy to achieve. Even the best intentions do not ensure against failures of communication – information may be poorly conveyed or subjects may forget that they are involved in a research project. Enhancing the likelihood that informed consent will take place is a challenge to which researchers should respond with imagination and good judgment. If it occurs that a subject's consent to participation was neither voluntary nor informed, the researcher (and the University) may be subject to severe penalty both legally and professionally.

Consent is valid only if the subject understands and participates voluntarily. In normal cases, the subject can voluntarily consent to participate. However, certain populations (e.g., children or individuals experiencing developmental disabilities) may not be able to understand the required information, and may require someone else to consent on their behalf. In such cases, researchers must obtain the assent of the subject in addition to the consent of their representative. Other populations (e.g., prisoners or institutionalized individuals) are so situated that the voluntary nature of their consent may be in

doubt. All of these subjects may need special protections, and great concern should be shown to these individuals in obtaining their informed consent.

The following instructions for preparation of a subject consent form may be used as a guideline for the submission of protocols for approval by the IRB. Because obtaining informed consent is an educational process, researchers should do what they can to enhance the prospective subject's comprehension of the information presented. The consent process should consider the nature of the proposed subject population, the type of information to be conveyed, the circumstances under which the consent process will take place (e.g., manner, timing, place, personnel involved, timing or location of first contact with potential subjects), how others will contact subjects during or following the study, and who has access to the data.

The Regulations. The federal regulations (45 CFR 46 amended/revised – Protection of Human Subjects) require that certain information must be provided to each subject:

1. A statement that the study involves research, and an explanation of the purposes of the research, the expected duration of the subject's participation, a description of the procedures to be followed, and the identification of any procedures which are experimental;
2. A description of any reasonably foreseeable risks or discomforts to the subject;
3. A description of any benefits to the subject or to others, which may reasonably be expected from the research;
4. A disclosure of appropriate alternative procedures or courses of treatment, if any, that might be advantageous to the subject;
5. A statement describing the extent to which confidentiality of records identifying the subject will be maintained;
6. For research involving more than minimal risk, an explanation as to whether any compensation can be expected, and, if so, in what form and amount, and an explanation as to whether any medical treatments (or counseling) are available if injury occurs and, if so, what they consist of, or where further information may be obtained; any money or

gift for participation is considered “compensation,” and is not listed under benefits.

7. An explanation of who to contact for answers to pertinent questions about the research and research subjects’ rights, and who to contact in the event of a research-related injury to the subject; and
8. A statement that participation is voluntary, refusal to participate will involve no penalty or loss of benefits to which the subject is otherwise entitled and the subject may discontinue participation at any time without penalty or loss of benefits to which the subject is otherwise entitled.

The regulations further provide that the following additional information is to be provided to subjects, when appropriate:

1. A statement that the particular treatment or procedure may involve risks to the subject (or to the embryo or fetus, if the subject is or may become pregnant) which are currently unforeseeable;
2. Anticipated circumstances under which the subject’s participation may be terminated by the investigator without regard to the subject’s consent;
3. Any additional costs to the subject that may result from participation in the research;
4. The consequences of a subject’s decision to withdraw from the research and procedures for orderly termination of participation by the subject;
5. A statement that significant new findings developed during the course of the research, which may relate to the subject’s willingness to continue participation, will be provided to the subject; and
6. The approximate number of subjects involved in the study.

Investigators may seek consent only under circumstances that provide the prospective subject or his or her representative sufficient opportunity to consider whether or not to participate, and that minimize the possibility of coercion or undue influence. Furthermore, the information must be written in language that is understandable to the subject or representative. The consent process may not involve the use of exculpatory language through which the subject or representative is made to waive or appear to waive any of the subject’s legal rights, or releases or appears to

release the investigator, sponsor, institution, or agent from liability for negligence.

Instructions for Preparation of Consent Form

The following instructions for preparation of a subject consent form may be used as a guideline for the submission of protocols for approval by the IRB. Certain “boilerplate” statements are provided; these can be incorporated into each Consent Form. Other portions are dependent on the nature of the work to be performed. Through a Consent Form, a subject must be made fully aware of the purpose of the study; the nature of the study; the sponsor of the study and the nature of the work to be performed. The subject must be informed about the principal investigators and sponsors of the study, the magnitude or extent of any discomfort or potentially adverse effects to health or well-being, any personal benefits or compensation the subject can expect to receive, and the fact that the participant is free to withdraw or be withdrawn from the study at any time without penalty. This information must be presented in terms that can be comprehended by the average individual, or, if applicable, the type of individual being studied.

Items in **BOLD** type should be addressed in all Consent Forms. Other items or descriptions of items are to be used as appropriate.

Descriptive Title for the Protocol

1 .DESCRIPTION OF STUDY

This section should include a comprehensive description in lay terms of the study to be performed. It should address who is conducting the study; the purpose of the study; why the subject is being asked to participate; what will be expected from the subject as a result of participation; how long the subject will be expected to participate (e.g., “It will take approximately half an hour to complete the questionnaire”). This, as well as subsequent sections, should be written using the first-person pronoun “I” or “we” as appropriate to refer to the researcher(s). The potential volunteer subjects should be referred to as “you”.

2. EXCLUSION CRITERIA

This section should address those preexisting conditions or other factors that would preclude the participation of an individual in the study. For example, if pregnancy would be a contraindication for participation, a statement such as “Your participation in this study indicates

that you are not pregnant and agree to practice an effective method of birth control for the duration of your participation in the study” would be appropriate.

3. RISKS AND BENEFITS

All potentially adverse effects of participation in the protocol must be clearly described. Any known risks associated with the study should also be stated. Examples would be “Some of the questions asked may be of a personal nature or cause some emotional discomfort.” If there are no benefits to the subject, this should be clearly stated (e.g., “There are no specific benefits to you personally for participation in this study”).

4. ALTERNATIVE TREATMENT

If relevant, the subject should be made aware of any alternative treatment or participation that might be available, including no treatment or participation at all.

5. COSTS AND PAYMENTS

If it can be reasonably expected that participation in the protocol will result in additional expenses to the subject, these additional costs must be clearly indicated (for example, if as a result of participating in the study, the subject is referred to a facility for further treatment which will not be paid for by the research protocol).

If a research subject is to be compensated, the amount of compensation and consequences if subject withdraws from the study should also be described.

If a research subject is to receive course-credit for participation, this should also be described.

7. NEW INFORMATION

If relevant, the following or comparable statement should be included: “Any new information obtained during the course of the research that may affect your willingness to continue participation in the study will be provided to you.”

8. CONFIDENTIALITY

Confidentiality pertains to the treatment of information that an individual has disclosed in a relationship of trust, with the expectation that it will not be divulged to others in ways that are inconsistent with the understanding of the original disclosure without permission. This includes obtaining information about the subject that

would, if disclosed by the researcher, jeopardize their job or lead to prosecution for criminal behavior or provide cause for legal action against a researcher or institution. Under less dramatic circumstances, a breach of confidentiality can be a moral wrong.

The following or comparable statement should be included in all Consent Forms: Any information obtained about you from the research, including answers to questionnaires, history, data findings, or physical examination [choose appropriate items], will be kept strictly confidential. The information you give us will not be shared with anyone outside the research team with your name attached. We will protect your confidentiality by coding your information with a number so no one can trace your answers to your name; properly disposing of computer sheets and other papers; limiting access to identifiable information; telling the research staff the importance of confidentiality; and storing research records in locked cabinets. The data derived from this study could be used in reports, presentations, and publications, but you will not be individually identified.

The Consent Form should describe who has access to the confidential information and the way in which the information is recorded. The Form should also state (if appropriate) that there are limitations to confidentiality that can be granted the subject (e.g., identification of criminal wrongdoing).

Specifically:

1. Where data are being collected about sensitive issues, such as illegal behavior, alcohol or drug use, sexual attitudes, practices or preferences, psychological well-being or mental health, information that if released could reasonably be damaging to an individual’s financial standing, employability, or reputation within the community, and information which could lead to social stigmatization or discrimination, protection of confidentiality consists of more than preventing accidental disclosures.
2. Careful attention should be given to a series of decisions related to confidentiality: whether the researchers will record subject identifiers at all, including consent forms; if identifiers are to be collected, whether they will be

retained after the data are coded; if identifiers are not destroyed, how they are to be maintained; and what subjects will be told about these matters as part of the informed consent process. A variety of methods for protecting confidentiality are available for different situations, including situations in which there is a danger of deductive identification of otherwise anonymous subjects on the basis of separate elements of data (e.g., birth date, occupation, and zip code). Among the available methods for assuring confidentiality are statistical techniques and physical or computerized methods for maintaining the security of stored data. The more sensitive the data being collected, the more important it is for the researcher to be familiar with the state of the art in protecting confidentiality.

3. Under federal law, researchers can obtain an advance certificate of confidentiality that will provide protection even against a subpoena for biomedical, behavioral, clinical, or other data, or research on mental health, including the use and effect of alcohol, drugs, or other addictive products.

9. WITHDRAWAL PRIVILEGE

You may withdraw from the study at any time since your participation is entirely voluntary. If you decide not to participate, there will be no penalty or loss of benefits to you to which you are otherwise entitled. If you decide to participate, you may discontinue at any time without penalty or loss of benefits to you to which you are otherwise entitled.

10. COMPENSATION FOR ILLNESS OR INJURY

If relevant, the following or a comparable statement should be included: In the unlikely event of a physical injury or physical illness resulting from the research protocol, no monetary compensation will be made, but any emergency medical treatment which may be necessary will be made available to you without charge by the investigators. If any injury should result from your participation in this research project, the University of Alaska, Anchorage (UAA) provides no insurance coverage, compensation plan, or free medical care plan to compensate you for such injuries. In the event that you believe that you

have suffered an injury as a result of your participation in a UAA research program, you may contact Office of Research and Graduate Studies at (907) 786-1099.

The informed consent form may not contain any exculpatory language. Subjects may not be asked to waive any of their legal rights, nor may they be asked to release the investigator, sponsor, or institution (or its agent) from liability for negligence.

11. VOLUNTARY CONSENT

The following or comparable statement should be included in all Consent Forms:

Your signature below means that you have freely agreed to participate in this research study. You should consent only if you have read this form or it has been read to you and you understand its contents. If you have any questions pertaining to the research, please contact (Principal Investigator) whose phone number is (907) xxx-xxxx. If you have any questions about your rights as a research subject, contact Office of Research and Graduate Studies, University of Alaska Anchorage at (907) 786-1099.

Include signature and date block.

If the subject is a minor or requires a guardian, the following should be added:

“Your signature certifies that you are the lawful guardian of _____ and that you have the legal authority to consent to his/her participation in this study. You hereby grant consent for him/her to participate in this study.”

Include signature and date block.

Witnessing of consent signatures by subjects or their guardians is not generally required.

However, if you have a concern that subjects in your study may not remember that they have signed the consent document; you may wish to have the signature witnessed.

Witnessing may be done by you as the investigator or by your designee (a competent adult over the age of 18). If you wish to have the subject’s consent witnessed, you may use the following wording (or a similar variation):

“I certify that I have explained to the above individual(s) the nature and purposes of the research and the potential benefits and possible risks associated with participation in this study. I have answered any questions that have been raised and have witnessed the above signature. I have explained the above to the volunteer on the date stated on this consent form.”

Include a signature and date block.

12. EXAMPLES OF CONSENT AND ASSENT FORMS

A sample consent form and an assent form follows:

SAMPLE CONSENT FORM

**THOUGHTS AND FEELINGS OF TEENAGE MOTHERS WHO
HAVE HAD PREMATURE INFANTS**

CONSENT FORM

PRINCIPAL INVESTIGATOR:

Dr. John Doe
Associate Professor, Department of Psychology
University of Alaska Anchorage
(907) 786-XXXX and ____@uaa.alaska.edu

DESCRIPTION:

I am interested in the thoughts and feelings of teenage mothers of premature infants. You, as the mother of a newborn premature infant, are the best person to describe these thoughts and feelings. This research study will involve one or two interviews with you, each lasting approximately 30 minutes. The interviews will be audio taped using a micro cassette recorder. The tapes will be typed out for word-for-word transcripts of the interviews. The tapes will then be erased.

CONFIDENTIALITY:

Your name will not be attached to your interview responses. Your name and any other personal information will be kept in a locked file that is only accessible to me or my research associates. Any information from this study that is published will not identify you by name.

BENEFITS:

There will be no direct benefit to you from participation. However, the results of this study may benefit other teenage mothers of premature infants by positively influencing the health care they receive.

RISKS:

It is possible that the discussion of thoughts or feelings about the birth of your baby might make you feel uncomfortable. However, there are no other known risks to you.

CONTACT PEOPLE:

If you have any questions about this research, please contact the Principal Investigator and the phone number listed above. If you have any questions about your rights as a research subject, please contact, Office of Research and Graduate Studies at the University of Alaska Anchorage at (907) 786-1099.

VOLUNTARY NATURE OF PARTICIPATION:

Your participation in this study is voluntary. If you don't wish to participate, or would like to end your participation in this study, there will be no penalty or loss of benefits to you to which you are otherwise entitled. In other words, you are free to make your own choice about being in this study or not, and may quit at any time without penalty.

SIGNATURE:

Your signature on this consent form indicates that you fully understand the above study, what is being asked of you in this study, and that you are signing this voluntarily. If you have any questions about this study, please feel free to ask them now or at any time throughout the study.

Signature _____ Date _____

A copy of this consent form is available for you to keep.

SAMPLE CONSENT FORM FOR YOUTH CALLED AN ASSENT FORM

ASSENT FORM

PERSON IN CHARGE OF RESEARCH:

Name of Principal Investigator(s)
Address
Phone
Fax and Email

PURPOSE OF RESEARCH:

This research group is made up of four social work students from the University of Alaska Anchorage who are interested in your experience with the Chafee Foster Care Independence Program. Our purpose is to hear your thoughts on this program and how well it is working (if you are presently in State's care) or how well it worked (if you are out of State's care). We hope to interview 10 young people who have been in this program to give us an idea of what they think about it. This will hopefully give us an idea of how well *many* youth or young adults think the Independence Program works. Knowing how many youth or young adults have experienced the program will help us understand common experiences, common challenges, and common strengths to make the program work better in the future.

WHO MIGHT PARTICIPATE?

Youth or young adults ages 14-19 who are in Office of Children's Services (OCS) custody and are presently in foster care or relative care;
Young adults ages 18-22 who were in OCS custody at any time after their 16th birthday.

WHAT DO I DO?

You will be asked six questions by an interviewer (one of the four social work students), and you will be free to answer each one as openly and honestly as you want about your experience with the Independence Program. You do not have to answer a question if you do not want to.

HOW WILL THE PROCESS GO?

1. This research group will ask for your permission in writing to interview you.
2. A member of the research group will contact you after you have given permission to be contacted, to set up a day and time to interview you.
3. At the interview, the student interviewing you will ask for your permission to record the interview on a tape recorder. This is only for keeping everything you say straight and the tape will be destroyed after this group types out the interview.
4. If at any time during the interview, you do not wish to continue, you are free to stop the interview with no questions asked. The interview will take no longer than one hour.
5. Your interview and others will be used in a report that is about youth and young adult experiences with the Independence Program.

WHERE WILL THIS HAPPEN?

The interview will happen at the University of Alaska Anchorage, in the Learning Resource Center. Or, if you prefer, it can happen by phone.

WHY IS THIS RESEARCH HAPPENING?

We hope that this research will help the Office of Children's Services (OCS) understand young adults and youths' perspectives on the Independence Program so that OCS might adapt the program to improve services for youth in State care in the best ways possible.

YOU ARE FREE TO CHOOSE:

Taking part in this interview is up to you. Not taking part or stopping at any time will not affect any services you might receive.

You do not have to talk about anything that might make you uneasy in any way. You will never be punished for choosing not to take part.

WHAT YOU SAY WILL BE KEPT PRIVATE:

Your name or anything that might identify who you are will not be written down. We want to tape record the interview to make sure we do not miss anything important.

Later, the tape of the meeting will be put into written words.

The tape will be destroyed after putting it into written words. Your quotes may be used in the final report, but nothing that could identify you will be used.

RISKS:

It is possible that talking about the Independence Program might make you uncomfortable. If you become upset at any point, you may stop talking until you feel better, or you can ask to stop the interview. Everyone will have a chance to talk about the interview afterwards so that there are no negative feelings from the interview. If it is decided that participants need further counseling, they will be referred to appropriate services and followed until these services are provided.

BENEFITS:

By participating in this study, you will be able to describe your feelings and experiences about growing to adulthood with OCS. Your participation will help future OCS programs and the experiences of youth who will face the same challenges you have.

COMPENSATION:

\$10.00 upon completion of the interview in thanks for your participation.

PEOPLE YOU CAN CALL:

If you have any questions about the research you may contact a member of the

Research Team:

Names and phone numbers

Or our Professor in charge:

Name, Ph.D.

(907) 786-6901

If you have any questions about your rights as a research participant, you may contact the Office of Research and Graduate Studies at (907) 786-1099.

SIGNING YOUR NAME:

Signing your name below means that you freely agree to take part in this study. You should agree only if you have read this paper or it has been read to you and you understand and agree to what is in it.

Sign your name: _____ Date _____

A copy of this form will be given to you to keep.

Interviewer's Signature: _____ Date _____

(If assent is given over the phone.)

UAA INSTITUTIONAL REVIEW BOARD POLICY DEFINITIONS

A. **“Adverse Effect”**

An adverse effect is a physiological, psychological, or social outcome of an investigation which is detrimental to a subject. An adverse effect may be anticipated or unanticipated. For the purpose of review, the Institutional Review Board for Research Involving Human Subjects (IRB) needs the following:

New IRB Proposals: Information on adverse effects which most likely or only possibly may occur, based on the literature, previous studies, and other reliable sources. In addition to listing possible adverse effects, proposals should indicate the probability that an adverse effect could occur.

Progress Report: The same information is required on the Progress Report, including information on any adverse effects that occurred during the study to date.

B. **“Anonymity”**

In the context of these guidelines, "anonymity" means that no one knows the identity of the subject. No identification of subjects should be possible by the procedures employed or by the information solicited. An example would be a mailed questionnaire with directions for subjects not to sign their names, where no code is used, where responses to questions will not reveal identities, and where the subject group is sufficiently large to avoid inadvertent identification.

C. **“Assent”**

Assent is a child's affirmative agreement to participate in research after an adequate explanation is provided. The absence of a child's objection does not constitute assent.

D. **“Confidentiality”**

Where the identity of the subjects is known by name, by specific data, or by appearance, it is usually necessary to make provisions for confidentiality. Data should be stored in a locked file cabinet (or should be similarly protected) accessible only to the investigator and his/her authorized staff and representatives. No identifying information (including recordings, , photographs, tapes, documents) should be released except with the explicit permission of the subject.

Where confidentiality in reports of results or in reports of specific incidents of interest to the scientific community cannot be assured, this information must be included in the consent form. In those instances where unique information is received but was not anticipated at the time of consent, later consent for the release of identifying information should be obtained.

Only personal information necessary to a research activity should be solicited from subjects.

To avoid an inadvertent breach of confidentiality, data should be coded, with the names of participants and other identifying information retained only on a master list to be securely stored separate from the data.

In double-blind studies, e.g., in drug studies, an appropriately designated individual should retain a copy of the key to the code, a listing of the drug and the dosage to be taken by each subject, and that individual should be available to break the code if necessary.

In some circumstances, it may be necessary to break confidentiality. If this is foreseen, the study subjects should be informed of this possibility on the consent form. An example would be subjects who engage in or have engaged in illegal activities. Because of legal interests, risk exists that the data or the investigators might be subpoenaed; prospective subjects must know this prior to consenting.

E. **“Deception”**

Deception occurs whenever information about an activity is deliberately withheld from subjects. A dilemma may arise in some research when fully informed consent may itself have injurious effects on the subject, or it may invalidate the experiment, as in the use of placebos or in double-blind studies.

F. **“Emergency Applications”**

Emergency applications are those which relate to emergencies where procedures must be initiated immediately or the opportunity lost.

G. **“Incompetent”**

In the context of the human subjects review process, an individual who is unqualified to give or is incapable of giving informed consent is considered to be incompetent. An incompetent may be a minor, an adult who has been declared legally incompetent, or an adult whose competency may be questioned because of an illness or an unusual circumstance.

H. **“Informed Consent”**

The ethical and professional codes governing the use of human subjects in research provide that no research involving human subjects should be undertaken without the informed and voluntary consent of the human subject or the consent of his/her authorized representative if the subject lacks the capacity to consent.

When a subject's consent is obtained, it must be "informed" consent, i.e., the knowing consent of an individual or his/her legally authorized representative, so situated as to be able to exercise free power of choice without the presence of excessive inducement or any element of force, fraud, duress, or other form of restraint or coercion. Further, consent should be a reasoned judgment to participate in an activity in full recognition of what will or could happen. In most cases, the investigator must discuss with the subject, in language that can be readily understood, all matters pertinent to the decision to participate. The consent form should contain the essence of the discussion between the investigator and the subject.

I. **“Institutional Review Board”**

Institutional Review Board (IRB) is the term used by the Department of Health and Human Services for a committee or group which has been formally designated by an institution to review and approve research involving human subjects, i.e., the Institutional Review Board for Research Involving Human Subjects at the University of Alaska Anchorage.

J. **“Personal and Sensitive”**

Examples of personal and sensitive information are some demographic data, questionnaires, inventories, and scales which elicit subjective responses; opinions on sensitive issues or about other individuals or groups; and records, such as medical, academic, photographic, audiotapes, and videotapes.

K. **“Right to Privacy”**

The right to privacy is the right of individuals to decide for themselves how much they will share with others their thoughts, their feelings, and the facts of their personal lives.

L. **“Risks”**

There are different types of risks to which human subjects may be exposed that are inherent in various research procedures. Risk is most obvious in medical and behavioral science research projects involving procedures which may induce a potentially harmful altered physical or mental state or condition. Some examples are: the removal of organs or tissues for study, reference, transplantation, or banking; the administration of drugs or radiation; the use of indwelling catheters or electrodes; the requirement of strenuous physical exercise; and subjection to deceit, public embarrassment, or humiliation.

There is a wide range of medical, social, and behavioral projects in which no immediate physical or psychological risk for the subject is involved, e.g., those involving the use of personality inventories, interviews, questionnaires, observations, photographs, tapes, records, and stored data. However, some of these procedures may involve varying degrees of discomfort, harassment, or invasion of privacy, or constitute a threat to the subject's dignity, all of which pose another type of risk.

M. **“Minimal Risk”**

The probability and magnitude of physical or psychological harm that is normally encountered in the daily lives or in the routine medical, dental, or psychological examinations of healthy persons.

N. **“Scientific Merit”**

Scientific merit will not be considered by the IRB *except* in cases in which there would be more than minimal risk to subjects. In such cases, the IRB must consider scientific merit, that is, the potential for contributing to knowledge, in order to help determine whether or not the potential benefits of the research to individuals or to society outweigh the risks. The IRB may utilize consultants in making this determination. The IRB will not approve research when the risk is significant and the project lacks appropriate merit.

O. **“Subject”**

A subject is a human being whose physical, intellectual, emotional, or behavioral condition is investigated for any purpose other than for the sole purpose of benefiting the subject as an individual. If a person such as a family member, employer, or teacher is asked to provide information about another individual, then both individuals are considered to be subjects. Donors of organs, tissues, body fluids, services and records, and informants are also considered to be subjects. The subject may be an adult, a minor, a student, a patient, military personnel, a resident of an institution for the mentally retarded, or a prison inmate. It is useful to distinguish between normal subjects and those who are of interest because of an illness or dysfunction. A subject is considered to be a normal subject if his/her participation in the activity is NOT determined by an illness or dysfunction that he/she exhibits.

Of particular concern are the following types of subjects:

- A. Persons of limited civil freedom, such as prisoners and residents or clients of institutions for the mentally ill and mentally retarded.
- B. Pregnant women, the viable fetus, the newborn, children, and the dead. The unborn and the dead are considered subjects to the extent that they have rights that may be exercised by their next-of-kin or legally authorized representative.

The definition of "subject" excludes all accepted and established service relationships, such as the normal relationship of patients to physicians, students to professors, and other clients to professionals, in which the patient, student, or client is receiving aid or services intended only to

meet his/her own personal needs or the overriding needs of society. The professional-client relationship has the welfare of the client as its primary objective, whereas the investigator-subject relationship has the discovery of new knowledge as its primary objective. This difference may not be fully understood by the subject who is also a client and can result in the investigator's gaining consent without free decision, in part based on a trust of a presumed role which the investigator is not necessarily fulfilling at that time. If doubt exists as to whether the procedures to be employed are for the personal needs of the client, the activity should be considered to involve subjects whose rights and welfare are to be protected in accord with these guidelines. The normal employer-employee relationship, in which legitimate services are tendered for salary, wages, or remuneration in keeping with customary written or oral contracts, is also excluded from the definition of "subject." Payment of volunteers, however, does not alter their status as subjects. If doubt exists as to whether the procedures are within the normal limits of the employee's work scope, the employees should be considered to be participating as human subjects and their rights and welfare must be protected.

P. **“Subject Advocate”**

A subject advocate is an individual who participates in the consent process on behalf of an adult subject who has not been declared legally incompetent, but whose ability to give informed consent is in question. The subject advocate should be a family member, a close friend, or someone who knows the subject well enough to attest to the subject's probable agreement to participate.

Q. **“Witness”**

See "Subject Advocate" A witness is not ordinarily required, unless there is some doubt about the competency of the subject.

FREQUENTLY ASKED QUESTIONS ABOUT INSTITUTIONAL REVIEW BOARD REGULATIONS

A. What is an Institutional Review Board (IRB)?

An IRB is a committee formally designated by the Chancellor of the University of Alaska Anchorage to review, to approve the initiation of, and to conduct continuing review of research involving human subjects as required by the Department of Health and Human Services (45 CFR 46 amended/revised). The purpose of IRB review is to assure the following:

1. Risks to subjects are minimized.
2. Risks to subjects are reasonable in relation to anticipated benefits for the subjects as well as for the importance of anticipated gain in knowledge.
3. Informed consent will be sought from each prospective subject, or the subject's legally authorized representative, and will be documented.
4. Where appropriate, the research plan makes adequate provision for monitoring the data collected to ensure the safety of subjects.
5. There are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of data.

B. Why do we need an IRB anyway?

The Department of Health and Human Services in the federal government requires it. Any institution receiving DHHS funds must have an IRB functioning to insure that research complies with the federal guidelines for the protection of human subjects. In the final analysis, however, an IRB serves as an established body that protects the rights of human subjects in research and provides information to researchers to help protect them from liability.

C. Who must apply for approval from the IRB?

Any member of the faculty, student body, or staff who proposes to use human subjects in a research activity sponsored by the University.

D. What kinds of activities require review?

Any research projects involving human subjects, i.e., human beings whose physical condition, responses, tissues, fluids, or records are investigated or used for any purpose other than for the purpose of benefiting the subject as an individual. The use of interviews, tests, observations,

inquiries, records, and tapes, which provide non-public information about individuals or groups, must be reviewed. In addition to research projects, demonstration activities, pilot projects, and course projects must also be reviewed if they involve human subjects.

E. When must research involving human subjects be reviewed?

Review must occur **PRIOR** to initiation of the research or pilot studies, **PRIOR** to implementation of any changes in procedures involving human subjects, and at least annually during the lifetime of the research activity. If the research is awarded from any internal or external funding source, review must be completed and approved before funding is made available.

F. How does an investigator apply?

An application is submitted to the IRB administrator, who decides whether a proposal requires full IRB review or is an expedited or exempt review.

G. Is any research exempt from review?

Yes. Federal Guidelines list research that is exempt from a full IRB review. The administrator of the IRB will determine if a proposal meets the criteria for an exempt or expedited review. This normally will take three to five business days.

H. How long does the IRB process take?

It is recommended that investigators allow at least one month for a full review. The following steps are typical in the handling of submissions for full review:

1. After determination of review status (exempt, non-exempt [full review] or expedited), a proposal is submitted electronically to the IRB Administrator in the Office of Research and Graduate Studies. For a full review, this must take place at least two weeks prior to the next scheduled IRB meeting.
2. The proposal is assigned to an IRB meeting date if it needs a full review.
3. The proposal is reviewed by the IRB at their monthly meeting.
4. Feedback from the IRB is documented and sent to the investigator by the Chair.
5. The investigator's response is received by the Chair.
6. Final action is taken on the proposal by the Chair.

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7. An approval letter is provided to the investigator and a copy of both the approval letter and the proposal are filed in the Office of Research and Graduate Studies.
- I. **Who serves on the IRB?**
A minimum of five members serve on the IRB. Membership on this committee is drawn from the faculty and the community. Appointments to the committee are made annually by the Vice Provost for Research in consultation with the Chair and administrator. A list of the current IRB members and Chair is available at www.uaa.alaska.edu/research/ric/irb/meeting.s.cfm.
- J. **May one appeal decisions of the IRB?**
An investigator may respond in person or in writing to the IRB regarding any IRB action. There is, however, no authority outside the IRB which can grant approval to a project that has not received IRB approval, short of appealing to the secretary of HHS.
- K. **Does an IRB or institution have to compensate subjects if injury occurs as a result of participation in a research project?**
No. The Food and Drug Administration (FDA) informed consent regulation (21 CFR 50.25 (a)(6)) requires that for research involving more than minimal risk, the subject must be told whether any compensation and/or any medical treatment is available if injury occurs, and, if so, what it consists of, or where further information may be obtained. Institutional policy, not FDA regulations, determine whether compensation and/or medical treatments will be offered and the conditions that might be placed on subject eligibility for compensation or treatment(s).
- L. **What is the University's compensation plan for adverse effects?**
None. Students, faculty, and staff have liability coverage, but there are no University compensation provisions.
- M. **Is the purpose of the IRB review and of informed consent to protect the institution or the subject?**
The fundamental purpose of IRB review and of informed consent is to assure that the rights and welfare of the subject are protected. A signed informed consent form may be evidence that the information required by federal guidelines has been provided to a prospective subject. IRB review of the consent form is to ensure that the subject is given adequate information concerning the study and serves the dual functions of protection of the subject and documentation that the institution complied with applicable regulations.
- N. **Is getting the subject to sign a consent form all that is required by the informed consent regulations?**
No. The consent form itself is merely an aid in insuring that adequate information is provided to the subject. The signed consent form provides documentation of a subject's consent to participate in a study. The entire informed consent process involves giving a subject adequate information concerning the study, providing adequate opportunity for the subject's questions, ensuring that the subject has comprehended the information, and obtaining the subject's voluntary consent to participate. To be effective, the process must provide an opportunity for the investigator and the subject to exchange information and ask questions. The consent form, therefore, is not an end point. It is one step in this communication process.
- O. **How long must consent forms be kept?**
Three years.
- P. **Can an institution's IRB review a study that will be conducted outside that institution?**
Yes. Although an IRB is not required to review studies conducted outside the jurisdiction of its institution, the IRB may choose to do so with the institution's approval.

**CHAPTER VII:
POLICY ON HUMANE
CARE AND USE OF
ANIMALS**

POLICY ON THE HUMANE CARE AND USE OF ANIMALS

I. Policy:

It is the Policy of the Public Health Service (PHS) to require institutions to establish and maintain proper measures to ensure the appropriate care and use of all animals involved in research, research training, and biological testing activities (hereinafter referred to as activities) conducted or supported by the PHS. The PHS endorses the "U.S. Government Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training" developed by the Interagency Research Animal Committee. This Policy is intended to implement and supplement those Principles.

II. Applicability

This Policy is applicable to all PHS-conducted or supported activities involving animals, whether the activities are performed at a PHS agency, an awardee institution, or any other institution and conducted in the United States, the Commonwealth of Puerto Rico, or any territory or possession of the United States. Institutions in foreign countries receiving PHS support for activities involving animals shall comply with this Policy, or provide evidence to the PHS that acceptable standards for the humane care and use of the animals in PHS-conducted or supported activities will be met. No PHS support for an activity involving animals will be provided to an individual unless that individual is affiliated with or sponsored by an institution which can and does assume responsibility for compliance with this Policy, unless the individual makes other arrangements with the PHS. This Policy does not affect applicable state or local laws or regulations which impose more stringent standards for the care and use of laboratory animals. All institutions are required to comply, as applicable, with the Animal Welfare Act, and other Federal statutes and regulations relating to animals.

III. Definitions

- *Animal* - Any live, vertebrate animal used or intended for use in research, research training, experimentation, or biological testing or for related purposes.
- *Animal Facility* - Any and all buildings, rooms, areas, enclosures, or vehicles, including satellite facilities, used for animal confinement, transport, maintenance, breeding, or experiments inclusive of surgical manipulation. A

satellite facility is any containment outside of a core facility or centrally designated or managed area in which animals are housed for more than 24 hours.

- *Animal Welfare Act* - Public Law 89-544, 1966, as amended, (P.L. 91-579, P.L. 94-279 and P.L. 99-198) 7 U.S.C. 2131 et. seq. Implementing regulations are published in the Code of Federal Regulations (CFR), Title 9, Chapter 1, Subchapter A, Parts 1, 2, and 3, and are administered by the U.S. Department of Agriculture.
- *Animal Welfare Assurance* - The documentation from an institution assuring institutional compliance with this Policy.
- *Guide - Guide for the Care and Use of Laboratory Animals*, National Academy Press, 1996, Washington, D.C., or succeeding revised editions.
- *Institution* - Any public or private organization, business, or agency (including components of Federal, state, and local governments).
- *Institutional Official* - An individual who signs, and has the authority to sign the institution's Assurance, making a commitment on behalf of the institution that the requirements of this Policy will be met.
- *Public Health Service* - The Public Health Service or PHS currently includes the Agency for Healthcare Research and Quality, Centers for Disease Control and Prevention, the Food and Drug Administration, the Health Resources and Services Administration, the Indian Health Service, the National Institutes of Health, and the Substance Abuse and Mental Health Services Administration.
- *Quorum* - A majority of the members of the Institutional Animal Care and Use Committee (IACUC).

IV. Implementation by Institutions

A. Animal Welfare Assurance

No activity involving animals may be conducted or supported by the PHS until the institution conducting the activity has provided a written Assurance acceptable to the PHS, setting forth

compliance with this Policy. Assurances shall be submitted to the Office of Laboratory Animal Welfare (OLAW), Office of the Director, National Institutes of Health. The Assurance shall be signed by the Institutional Official. OLAW will provide the institution with necessary instructions and an example of an acceptable Assurance. All Assurances submitted to the PHS in accordance with this Policy will be evaluated by OLAW to determine the adequacy of the institution's proposed program for the care and use of animals in PHS-conducted or supported activities. On the basis of this evaluation, OLAW may approve or disapprove the Assurance, or negotiate an approvable Assurance with the institution. Approval of an Assurance will be for a specified period of time (no longer than five years), after which time the institution must submit a new Assurance to OLAW. OLAW may limit the period during which any particular approved Assurance shall remain effective or otherwise condition, restrict, or withdraw approval. Without an applicable PHS-approved Assurance, no PHS-conducted or supported activity involving animals at the institution will be permitted to continue.

The Assurance shall fully describe the institution's program for the care and use of animals in PHS-conducted or supported activities. The PHS requires institutions to use the *Guide for the Care and Use of Laboratory Animals (Guide)* as a basis for developing and implementing an institutional program for activities involving animals. The program description must include the following:

1. A list of every branch and major component of the institution, as well as a list of every branch and major component of any other institution, which is to be included under the Assurance;
2. The lines of authority and responsibility for administering the program and ensuring compliance with this Policy;
3. The qualifications, authority, and responsibility of the veterinarian(s) who will participate in the program and the percent of time each will contribute to the program;
4. The membership list of the Institutional Animal Care and Use Committee(s) (IACUC) established in accordance with the requirements set forth in IV.A.3. of this Policy;

5. The procedures which the IACUC will follow to fulfill the requirements set forth in this Policy;
6. The health program for personnel who work in laboratory animal facilities or have frequent contact with animals;
7. A synopsis of training or instruction in the humane practice of animal care and use, as well as training or instruction in research or testing methods that minimize the number of animals required to obtain valid results and minimize animal distress, offered to scientists, animal technicians, and other personnel involved in animal care, treatment, or use;
8. The gross square footage of each animal facility (including satellite facilities), the species housed therein and the average daily inventory, by species, of animals in each facility; and
9. Any other pertinent information requested by OLAW.

B. Institutional Status

Each institution must assure that its program and facilities are in one of the following categories:

1. **Category 1 - Accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC).** All of the institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated and accredited by AAALAC, or another accrediting body recognized by PHS. All of the institution's programs and facilities (including satellite facilities) for activities involving animals have also been evaluated by the IACUC and will be reevaluated by the IACUC at least once every six months, in accordance with IV.B.1. and 2. of this Policy, and reports prepared in accordance with IV.B.3. of this Policy.
2. **Category 2 - Evaluated by the Institution.** All of the institution's programs and facilities (including satellite facilities) for activities involving animals have been evaluated by the IACUC and will be reevaluated by the IACUC at least once every six months, in accordance with IV.B.1. and 2. of this Policy, and reports prepared in accordance with IV.B.3. of this Policy. The most recent semi-annual report of

<p>the IACUC evaluation shall be submitted to OLAW with the Assurance.</p>	<p>using the <i>Guide</i> as a basis for evaluation;</p>
<p>C. Institutional Animal Care and Use Committee (IACUC)</p>	<p>2. Inspect at least once every six months all of the institution's animal facilities (including satellite facilities) using the <i>Guide</i> as a basis for evaluation;</p>
<p>1. The Chancellor through the Vice Provost for Research appoints an Institutional Animal Care and Use Committee (IACUC), qualified through the experience and expertise of its members to oversee the institution's animal program, facilities, and procedures.</p> <p>2. The Assurance must include the names, position titles, and credentials of the IACUC chairperson and the members. The committee consists of not less than five members, and shall include at least:</p> <ol style="list-style-type: none"> One Doctor of Veterinary Medicine, with training or experience in laboratory animal science and medicine, who has direct or delegated program authority and responsibility for activities involving animals at the institution (see IV.A.1.c.); One practicing scientist experienced in research involving animals; One member whose primary concerns are in a nonscientific area (for example, ethicist, lawyer, member of the clergy); and One individual who is not affiliated with the institution in any way other than as a member of the IACUC, and is not a member of the immediate family of a person who is affiliated with the institution. An individual who meets the requirements of more than one of the categories detailed in IV.A.3.b.(1)-(4) of this policy may fulfill more than one requirement. However, no committee may consist of less than five members. 	<p>3. Prepare reports of the IACUC evaluations conducted as required by IV.B.1. and 2. of this Policy, and submit the reports to the Institutional Official (Vice Provost for Research); (NOTE: The reports shall be updated at least once every six months upon completion of the required semiannual evaluations and shall be maintained by the institution and made available to OLAW upon request. The reports must contain a description of the nature and extent of the institution's adherence to the <i>Guide</i> and this Policy and must identify specifically any departures from the provisions of the <i>Guide</i> and this Policy, and must state the reasons for each departure. The reports must distinguish significant deficiencies from minor deficiencies. A significant deficiency is one which, consistent with this Policy, and, in the judgment of the IACUC and the Institutional Official, is or may be a threat to the health or safety of the animals. If program or facility deficiencies are noted, the reports must contain a reasonable and specific plan and schedule for correcting each deficiency. If some or all of the institution's facilities are accredited by AAALAC International or another accrediting body recognized by PHS, the report should identify those facilities as such.)</p> <p>4. Review concerns involving the care and use of animals at the institution;</p> <p>5. Make recommendations to the Institutional Official regarding any aspect of the institution's animal program, facilities, or personnel training;</p> <p>6. Review and approve, require modifications in (to secure approval) or withhold approval of</p>
<p>D. Functions of the Institutional Animal Care and Use Committee (IACUC)</p>	
<p>As an agent of the institution, the IACUC shall with respect to PHS - conducted or supported activities:</p>	
<p>1. Review at least once every six months the institution's program for humane care and use of animals,</p>	

those components of PHS-conducted or supported activities related to the care and use of animals as specified in IV.C. of this Policy;

7. Review and approve, require modifications in (to secure approval), or withhold approval of proposed significant changes regarding the use of animals in ongoing activities; and
8. Be authorized to suspend an activity involving animals in accordance with the specifications set forth in IV.C.6 of this Policy.

E. Review of PHS-Conducted or Supported Research Projects or any other use of vertebrate animals

1. In order to approve proposed research projects or proposed significant changes in ongoing research projects, the IACUC shall conduct a review of those components related to the care and use of animals and determine that the proposed research projects are in accordance with this Policy. In making this determination, the IACUC shall confirm that the research project will be conducted in accordance with the Animal Welfare Act insofar as it applies to the research project, and that the research project is consistent with the *Guide* unless acceptable justification for a departure is presented. Further, the IACUC shall determine that the research project conforms with the institution's Assurance and meets the following requirements:
 - a. Procedures with animals will avoid or minimize discomfort, distress, and pain to the animals, consistent with sound research design.
 - b. Procedures that may cause more than momentary or slight pain or distress to the animals will be performed with appropriate sedation, analgesia, or anesthesia, unless the procedure is justified for scientific reasons in writing by the investigator.

- c. Animals that would otherwise experience severe or chronic pain or distress that cannot be relieved will be painlessly killed at the end of the procedure or, if appropriate, during the procedure.
 - d. The living conditions of animals will be appropriate for their species and contribute to their health and comfort. The housing, feeding, and non-medical care of the animals will be directed by a veterinarian or other scientist trained and experienced in the proper care, handling, and use of the species being maintained or studied.
 - e. Medical care for animals will be available and provided as necessary by a qualified veterinarian.
 - f. Personnel conducting procedures on the species being maintained or studied will be appropriately qualified and trained in those procedures.
 - g. Methods of euthanasia used will be consistent with the recommendations of the American Veterinary Medical Association (AVMA) Panel on Euthanasia (PDF), unless a deviation is justified for scientific reasons in writing by the investigator.
2. Prior to the review, each IACUC member shall be provided with a list of proposed research projects to be reviewed. Written descriptions of research projects that involve the care and use of animals shall be available to all IACUC members, and any member of the IACUC may obtain, upon request, full committee review of those research projects. If full committee review is not requested, at least one member of the IACUC, designated by the chairperson and qualified to conduct the review, shall review those research projects and have the authority to approve, require modifications in (to secure approval) or request full committee

review of those research projects. If full committee review is requested, approval of those research projects may be granted only after review at a convened meeting of a quorum of the IACUC and with the approval vote of a majority of the quorum present. No member may participate in the IACUC review or approval of a research project in which the member has a conflicting interest (e.g., is personally involved in the project) except to provide information requested by the IACUC; nor may a member who has a conflicting interest contribute to the constitution of a quorum.

3. The IACUC may invite consultants to assist in the review of complex issues. Consultants may not approve or withhold approval of an activity or vote with the IACUC unless they are also members of the IACUC.
4. The IACUC shall notify investigators and the institution in writing of its decision to approve or withhold approval of those activities related to the care and use of animals, or of modifications required to secure IACUC approval. If the IACUC decides to withhold approval of an activity, it shall include in its written notification a statement of the reasons for its decision and give the investigator an opportunity to respond in person or in writing.
5. The IACUC shall conduct continuing review of each previously approved, ongoing activity covered by this Policy at appropriate intervals as determined by the IACUC, including a complete review in accordance with IV.C.1.-4. at least once every three years.
6. The IACUC may suspend an activity that it previously approved if it determines that the activity is not being conducted in accordance with applicable provisions of the Animal Welfare Act, the *Guide*, the institution's Assurance, or IV.C.1.a.-g. of this Policy. The IACUC may suspend an activity only after review of the matter at a convened meeting

of a quorum of the IACUC and with the suspension vote of a majority of the quorum present.

7. If the IACUC suspends an activity involving animals, the Institutional Official in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report that action with a full explanation to OLAW.
8. Applications and proposals that have been approved by the IACUC may be subject to further appropriate review and approval by officials of the institution. However, those officials may not approve an activity involving the care and use of animals if it has not been approved by the IACUC.

F. Information Required in Applications-Proposals for Awards Submitted to PHS

1. All Institutions

Applications and proposals (competing and non-competing) for awards submitted to PHS that involve the care and use of animals shall contain the following information:

- a. Identification of the species and approximate number of animals to be used;
- b. Rationale for involving animals, and for the appropriateness of the species and numbers used;
- c. A complete description of the proposed use of the animals;
- d. A description of procedures designed to assure that discomfort and injury to animals will be limited to that which is unavoidable in the conduct of scientifically valuable research, and that analgesic, anesthetic, and tranquilizing drugs will be used where indicated and appropriate to minimize discomfort and pain to animals; and
- e. A description of any euthanasia method to be used.

Non-competing applications and contract proposals for other than full and open competitions need not repeat the information required by IV.D.1.a.-e. if the information was complete in the last competing application or proposal and there are no significant changes to that

information. However, the application or proposal must contain a statement to that effect. If there are significant changes in the information, then the application or proposal must specifically identify them and state the reasons for the changes.

2. Institutions That Have an Approved

Assurance

Applications or proposals (competing and non-competing) covered by this Policy from institutions which have an approved Assurance on file with OLAW shall include verification of approval (including the date of the most recent approval) by the IACUC of those components related to the care and use of animals. For competing applications or proposals only, such verification may be filed at any time prior to award unless specifically required earlier by the funding component. If verification of IACUC approval is submitted subsequent to the submission of the application or proposal, the verification shall state the modifications, if any, required by the IACUC. The verification shall be signed by an individual authorized by the institution, but need not be signed by the Institutional Official.

G. Recordkeeping Requirements

1. The awardee institution shall maintain:

- a. A copy of the Assurance which has been approved by the PHS;
- b. Minutes of IACUC meetings, including records of attendance, activities of the committee, and committee deliberations;
- c. Records of applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was given or withheld;
- d. Records of semiannual IACUC reports and recommendations (including minority views) as forwarded to the Institutional Official; and
- e. Records of accrediting body determinations.

2. All records shall be maintained for at least three years; records that relate directly to applications, proposals, and proposed significant changes in ongoing activities reviewed and approved by the IACUC

shall be maintained for the duration of the activity and for an additional three years after completion of the activity. All records shall be accessible for inspection and copying by authorized OLAW or other PHS representatives at reasonable times and in a reasonable manner.

H. Reporting Requirements

1. At least once every 12 months, the IACUC, through the Institutional Official, shall report in writing to OLAW:

- a. Any change in the institution's program or facilities which would place the institution in a different category than specified in its Assurance (see IV.A.2. of this Policy);
- b. Any change in the description of the institution's program for animal care and use as required by IV.A.1.a.-i. of this Policy;
- c. Any changes in the IACUC membership; and
- d. Notice of the dates that the IACUC conducted its semiannual evaluations of the institution's program and facilities and submitted the evaluations to the Institutional Official.

2. At least once every 12 months, the IACUC, at an institution which has no changes to report as specified in IV.F.1.a.-c. of this Policy, shall report to OLAW in writing, through the Institutional Official, that there are no changes and inform OLAW of the dates of the required IACUC evaluations and submissions to the Institutional Official.

3. The IACUC, through the Institutional Official, shall promptly provide OLAW with a full explanation of the circumstances and actions taken with respect to:

- a. Any serious or continuing noncompliance with this Policy;
- b. Any serious deviation from the provisions of the *Guide*; or
- c. Any suspension of an activity by the IACUC.

4. Reports filed under IV.F. of this Policy shall include any minority views filed by members of the IACUC.

V. Implementation by PHS

A. The Office of Laboratory Animal Welfare

(OLAW) is responsible for the general administration and coordination of this Policy and will:

1. Request and negotiate, approve or disapprove, and, as necessary, restrict or withdraw approval of Assurances;
2. Distribute to Scientific Review Administrators of initial review and technical evaluation groups, and to PHS awarding units, lists of institutions [domestic and foreign] that have an approved Assurance;
3. Advise awarding units and awardee institutions concerning the implementation of this Policy;
4. Evaluate allegations of noncompliance with this Policy;
5. Have the authority to review and approve or disapprove waivers to this Policy (see V.D. of this Policy); and
6. Conduct site visits to selected institutions.

B. Responsibilities of PHS Awarding Units

PHS awarding units may not make an award for an activity involving animals unless the prospective awardee institution and all other participating institutions have approved Assurances on file with OLAW, and the awardee institution has provided verification of approval by the IACUC of those components of the application or proposal related to the care and use of animals. If any one of these institutions does not have an approved Assurance on file with OLAW, the awarding unit will ask OLAW to negotiate an Assurance with the institution(s) before an award is made. No award shall be made until all required Assurances have been submitted by the institution(s), been approved by OLAW, and the institution(s) have provided verification of approval by the IACUC of those components of the application or proposal related to the care and use of animals.

C. Conduct of Special Reviews/Site Visits

Each awardee institution is subject to review at any time by PHS staff and advisors, which may include a site visit, in order to assess the adequacy or accuracy of the institution's compliance or expressed compliance with this Policy.

D. Waiver Institutions may request a waiver of a provision or provisions of this Policy by submitting a request to OLAW. No waiver will be

granted unless sufficient justification is provided and the waiver is approved

UAA Institutional Animal Care and Use Committee (IACUC)

The UAA Institutional Animal Care and Use Committee (IACUC) was established by the Chancellor and charged with oversight of all animal use at the University of Alaska Anchorage. The primary purpose of this committee is to ensure compliance with national policies protecting the welfare of laboratory and field research animals. These policies, regulations, and guidelines include, but are not limited to: the Animal Welfare Act, Public Health Service Policies, the Health Research Extension Act, Acceptable Field Methods of Mammalogy, Guidelines for the Use of Wild Birds in Research, Guidelines for the Use of Fishes in Field Research, Guidelines for the Use of Live Amphibians and Reptiles in Field Research, and the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching. Responsible conduct of animal research requires knowledge of the requirements and empathy towards the animals we use. Details on UAA's IACUC can be found at

www.uaa.alaska.edu/research/ric/iacuc/index.cfm.

The UAA Animal Care Program is detailed in this institution's *Assurance of Compliance with PHS Policy on the Humane Care and Use of Laboratory Animals*. This *Assurance* describes the basic functioning of the IACUC committee and the lines of authority at UAA, and can be found online at

www.uaa.alaska.edu/research/ric/iacuc/document_s.cfm.

In order to clarify issues specific to UAA, the IACUC periodically issues policy statements. These policy statements are intended to address controversial or poorly understood issues. Our page on *frequently asked questions* (see www.uaa.alaska.edu/research/ric/iacuc/policy.cfm) may also provide valuable information about your responsibilities. Please contact Dr. Eric Murphy, IACUC chair, at afesm@uaa.alaska.edu or Joanne Thordarson, compliance administrator, at anjkt@uaa.alaska.edu if you cannot find the information you need.

The University's goal is to foster a supportive environment for high quality research, education,

and service while ensuring that all use of live vertebrates is adequately justified and conducted by knowledgeable people using the most appropriate methodology. In acknowledgement of the scientific and ethical responsibility of the University for the humane care of animals, and in the interest of ensuring the high quality of university research and educational pursuits, the principles and procedures below have been established. Additional details and all relevant forms and training are on the IACUC website at www.uaa.alaska.edu/research/ric/iacuc/index.cfm

Section 1: General Principles

The following nine “Principles for the Utilization and Care of Vertebrate Animals Used in Testing, Research, and Training” have been prepared by the U.S. Interagency Research Animal Committee and are herewith adopted to apply equally to all institutional and research use of animals, whether carried out solely within University resources, or with the assistance of extramural funds. These are the cornerstone for all the regulations, guidelines, and policy statements addressing the humane care and use of live vertebrates in a research, teaching, or diagnostic setting. Everyone engaged in the use of live vertebrates at UAA should read and understand these basic principles.

The transportation, care, and use of animals should be in accordance with the Animal Welfare Act (7 U.S.C. 2131 et. seq.) and other applicable Federal laws, guidelines, and policies.

Procedures involving animals should be designed and performed with due consideration of their relevance to human or animal health, the advancement of knowledge, or the good of society.

The animals selected for a procedure should be of an appropriate species and quality and the minimum number required to obtain valid results. Methods such as mathematical models, computer simulation, and in vitro biological systems should be considered.

Proper use of animals, including the avoidance or minimization of discomfort, distress, and pain when consistent with sound scientific practices, is imperative. Unless the contrary is established, investigators should consider that procedures that cause pain or distress in human beings may cause pain or distress in other animals.

Procedures with animals that may cause more than momentary or slight pain or distress should be performed with appropriate sedation, analgesia, or anesthesia. Surgical or other painful procedures should not be performed on

unanesthetized animals paralyzed by chemical agents.

Animals that would otherwise suffer severe or chronic pain or distress that cannot be relieved should be painlessly killed at the end of the procedure or, if appropriate, during the procedure. The living conditions of animals should be appropriate for their species and contribute to their health and comfort. Normally, the housing, feeding, and care of all animals used for biomedical purposes must be directed by a veterinarian or other scientist trained and experienced in the proper care, handling, and use of the species being maintained or studied. In any case, veterinary care shall be provided as indicated.

Investigators and other personnel shall be appropriately qualified and experienced for conducting procedures on living animals. Adequate arrangements shall be made for their in-service training, including the proper and humane care and use of laboratory animals.

Where exceptions are required in relation to the provisions of these Principles, the decisions should not rest with the investigators directly concerned but should be made, with due regard to Principle II, by an appropriate review group such as an institutional animal care and use committee. Such exceptions should not be made solely for the purposes of teaching or demonstration.

Section 2: UAA IACUC Review Procedures and Delegation of Review Authority

It is the obligation of each individual intending to use live vertebrate animals in testing, research, or training (faculty, staff or student) to bring the proposed activity to the attention of the UAA’s IACUC for review and approval prior to the initiation of the activity. The Investigator shall submit an electronic copy of the Assurance of Animal Care form (available at www.uaa.alaska.edu/research/ric/iacuc/forms.cfm) to the IACUC Chair, Dr. Eric Murphy, at least two weeks prior to scheduled IACUC committee meetings. The committee usually meets monthly (see website). If a more timely review is necessary, the IACUC may conduct designated review. In this procedure, the researcher requests rapid review by the committee and the chair reviews the proposal to see if designated review is appropriate. If the chair determines that designated review is appropriate, the proposal is submitted to the entire committee with a request for the committee to review the proposal within a week and let the chair know if they approve of or

disagree with the use of the designated review for the proposal. If any committee member requests a full review, then the designated review is cancelled, and the proposal must undergo full review. If no one on the committee objects, then the chair will designate a single reviewer for the proposal. This reviewer will make recommendations to the chair for approval or refer the proposal back to the full committee for a full review. Use of designated review is at the discretion of the IACUC. No activities involving the use of vertebrate animals shall be initiated nor shall such animals be obtained until the proposal has received committee approval.

The formal actions of the IACUC upon reviewing a proposals shall be as follows:

Approval – indicates that the applicant may obtain animals and begin research, and that the project meets IACUC standards for the care and use of vertebrate animals

Approval withheld pending – Indicates that the approval of the committee has been withheld, pending revisions of specific points. Animals may not be obtained or used until all the outlined provisions have been submitted to and approved by the committee

Disapproval – Indicates that the proposed activity does not meet university or federal guidelines for the care and use of vertebrate animals. Animals may not be obtained, nor can any activity proceed. The investigator shall have the opportunity to respond in person or in writing to the committee. If the IACUC gives a proposed project an *Approval Withheld Pending* status, the investigator must contact the IACUC Chair regarding the required action within sixty (60) days, or the proposal will be withdrawn from further committee action and considered to be Disapproved.

The IACUC approves the protocols for a period of three years, pending successful annual review. In the reviews at the end of each year, the principal investigator must provide the committee with a brief summary of the research conducted in the past year, a table detailing the numbers and species used, and a statement assuring the committee that the investigator is familiar with the definition of significant changes, and that no such changes have occurred.

After the third report is submitted (end of year three), the principal investigator must submit a

new protocol form and have the procedures reviewed again, as if it were a new protocol. If the IACUC refuses to approve the use of animals in an ongoing research project, the IACUC will provide the investigator with a statement as to the reasons for the disapproval and, if necessary, will make recommendations for changes in the proposed animal care and use which would lead to approval by the IACUC. It shall be the responsibility of the PI to report any modification in the description of animal use activity or personnel involved in the activity to the IACUC prior to such changes. It is not sufficient to notify the IACUC of significant changes in protocol or personnel solely in the annual report.

Investigators and the Institutional Official will be formally notified in writing of committee actions. The Municipality of Anchorage (Alaska) enforces an ordinance restricting the importation, sale, and possession of rats within its political boundaries. Before a project involving the use of rats may be approved, it is the responsibility of the principal investigator to negotiate an agreement with the Municipality's Department of Health and Human Services, Division of Environmental Health. A copy of the letter from the Municipality of Anchorage, acknowledging and detailing this agreement, must accompany the protocol. Under no circumstances are rats to be purchased until such an agreement is in place and the protocol has been approved by the IACUC(811).

CHAPTER VIII:
UNIVERSITY ASSEMBLY
CONSTITUTION AND
BYLAWS

CONSTITUTION OF THE UNIVERSITY ASSEMBLY

Article I. Name

Section 1: The name of this organization shall be the UNIVERSITY ASSEMBLY OF THE UNIVERSITY OF ALASKA ANCHORAGE (herein called the Assembly).

Article II. Purposes, Responsibilities, Structure, and Authority

Section 1: Purpose

The purposes of the Assembly are:

- A. To provide official representation for the alumni, APT (administrative, professional, technical), classified staff, faculty, and students of the University of Alaska Anchorage in matters that affect the general welfare of the university and its effectiveness in pursuit of (1) its goal of excellence in teaching, research, and service, (2) the development of professional careers for all employees, (3) the rights of students, and (4) the concerns of the alumni.
- B. To function as an advisory, coordinating, and legislative body, having primary authority to initiate, develop, review, and recommend policy pertinent to the University of Alaska Anchorage including, but not limited to, issues not covered by collective bargaining agreements or applicable state or federal laws that relate to:
 - Budget – including salaries
 - Planning
 - Grievances
 - Health and safety
 - Security and transportation
 - Academic resource utilization – including computers, library, and facilities
 - Review of instruction
 - Choice of commencement speaker
 - University obligation to students, faculty, staff and alumni
 - Advisement, recruitment, retention, and dismissal of students
 - Tuition and fees
 - Academic calendar
 - Disciplinary probation and suspension
 - Admission standards
 - Grading policies
 - Course availability

- Ethics
- Transfer policies
- Parking
- Space utilization and planning

- C. To provide consultative services to the Chancellor of the University of Alaska Anchorage by considering all matters referred to it by the Chancellor or by the Assembly constituency.
- D. To provide consultative service to the representative groups on issues related to their respective areas of responsibility.
- E. To provide for representation to the System wide Governance Council.

Section 2: Responsibilities

A. Specific Authority

The Assembly shall carry out its responsibilities and functions subject to the policies and procedures of the Board of Regents. The Assembly's actions will be binding subject to approval by the Chancellor, in accordance with ARTICLE X of this Constitution.

B. Delegated Authority

The Assembly delegates legislative authority to its component bodies as established in ARTICLE II, Section 3, of this Constitution. The Assembly may review, comment on, and recommend changes in any actions taken by its component bodies but the Assembly shall not have veto power over actions taken by its component bodies.

Section 3: Structure

The Assembly shall be composed of the following component bodies:

- A. The University of Alaska Anchorage APT Council herein called the APT Council.
- B. The University of Alaska Anchorage Classified Council herein called the Classified Council.
- C. The University of Alaska Anchorage Faculty Senate herein called the Faculty Senate.
- D. Student government of the University of Alaska Anchorage herein called the students.

Article III. Membership**Section 1: Representation**

The Assembly shall be composed of representatives of all component bodies and others as provided in ARTICLE III, Section 2, of this Constitution.

Section 2: Membership

The Assembly shall consist of not more than five (5) – voting representatives from each of the component bodies listed in Article II, Section 3, of this Constitution.

Additionally, there shall be six (6) ex-officio members including: the Chancellor, three (3) administrative representatives appointed by the Chancellor, and one (1) representative from the UAA Alumni Association, plus other representatives as specified in ARTICLE IV of this Constitution.

Section 3: Recall

Any member of the Assembly may be recalled by the electing constituency from which the member was chosen. Such recall shall be in accordance with the procedures established by the member's governance body.

Article IV. Officers**Section 1: Officers**

The Assembly shall, by a majority vote, choose two (2) officers: a President and Vice President.

Section 2: Term of Office

The President and Vice President will serve for a period of one year, and shall assume office at the last regularly scheduled Assembly meeting of the academic year.

Section 3: Election of Officers

The Assembly President and Vice President shall be elected from the Assembly provided that the president and the vice president are not elected from the same component body. Those positions in the Assembly shall be replaced by alternates from their component groups.

Article V. Committees**Section 1: Standing Committees**

The committees of the Assembly shall be those specified by the Bylaws of the Assembly.

Section 2: Executive Committee

The Executive Committee shall consist of the University Assembly President, Vice President, and the presidents from each

component group or their designated representative.

Section 3: Committee Representation

The standing committees of the Assembly shall be elected by and from the Assembly with the exception of the Grievance Council whose membership is determined by University Regulations. Members elected to the standing committees shall serve for the duration of their terms on the Assembly.

Section 4: Ad Hoc Committees

By a majority vote of those present at any meeting, the Assembly may establish any ad hoc committee it deems necessary for conducting Assembly business. The Assembly President shall appoint the members of any ad hoc committee which may include, when appropriate, non-Assembly members.

Article VI. Meetings

The Assembly shall meet at least once each semester or more often in accordance with Section V of the Assembly Bylaws.

Article VII. Quorum

A Quorum shall consist of 50% of the voting membership, plus one person, including at least one (1) representative from three (3) of the four (4) component bodies.

Article VIII. Parliamentary Authority

The parliamentary authority shall be the latest edition of Robert's Rules of Order.

Article IX. Amendment**Section 1: Proposal of Amendments**

Amendment to the Constitution may be proposed by members of the Assembly. Copies of the proposed amendment shall be sent to all members of the Assembly.

Section 2: Procedure

A first reading and discussion of the proposed amendment will be scheduled for the next meeting of the Assembly after distribution of the proposed amendment is achieved.

Section 3: Approval

Approval of amendments to the Constitution requires a two-thirds vote of all members eligible to vote in the Assembly. The proposed amendment shall be subject to a final vote no sooner than thirty (30) calendar days and not later than sixty (60) calendar days after the first reading.

Section 4: Ratification

All amendments to the Constitution approved by the Assembly shall be transmitted to the Chancellor, System Governance, President, and the Board of Regents.

Article X. Effective Date of Actions

Section 1: Chancellor's Action

All actions taken by the Assembly will be forwarded to the Chancellor within five (5) working days following that action. An action of the Assembly will be considered approved if the Chancellor fails to respond to that action within thirty (30) calendar days of the Assembly's forwarding the action to the Chancellor.

Section 2: Assembly Authority

Any action taken by any Assembly component body that affects any other component body or statewide policy shall be submitted to the Assembly and considered to be an action of the Assembly unless the Assembly itself refer the action back to the component body for reconsideration (with comment or specific recommendations) within five (5) working days of the date of the first meeting following that action. The Assembly may refer an action back for reconsideration only once.

Section 3: Appeal of Chancellor's Decision

Appeal of the Chancellor's decision shall be through the System Governance to the UA President. The decision to appeal the Chancellor's decision shall require a two-thirds majority of the UAA Assembly members eligible to vote.

BYLAWS OF THE CONSTITUTION OF THE UNIVERSITY ASSEMBLY

Section 1. Purposes, Responsibilities, Structure and Authority (Constitution Article II)

A. The Assembly

The University Assembly of the University of Alaska Anchorage (hereinafter "Assembly") has the only authority to amend the Constitution and shall be empowered to act on any matter not specifically prohibited by the Constitution or the Bylaws.

B. Component Bodies

The component bodies of the Assembly shall be structured, organized and shall

operate according to the constitution and bylaws of each respective group.

Section 2. Membership (Constitution Article III)

A. Voting Membership

The voting membership shall be composed of not more than twenty (20) members, including not more than:

- Five (5) faculty members, to include the three officers of the UAA Faculty Senate; and at least one faculty member from an extended campus;
- Five (5) members of the UAA Classified Council, at least one of which shall be from an extended campus;
- Five (5) members of the UAA APT Council; at least one of which shall be from an extended campus; and
- Five (5) members representing the students, at least one of which shall be from an extended campus.

For the purposes of the Assembly Bylaws, the term "extended campus" is applied to Kenai Peninsula, Kodiak, Matanuska-Susitna, and Prince William Sound campuses.

B. Non-voting Ex-officio Membership

Additionally, there shall be six (6) ex-officio members including: the Chancellor, three (3) administrative representatives appointed by the Chancellor, and one (1) representative from the UAA Alumni Association.

C. Nominations and Elections

The method of nominations and the election procedures for voting representatives shall be determined by each component body of the Assembly.

The Assembly Executive Committee may, upon written request of ten (10) members of any individual component body, appoint an ad hoc review committee to determine if any election by a component body of the Assembly was conducted improperly. The ad hoc review committee will recommend to the Executive Committee that the election be declared invalid or make other appropriate recommendations.

D. The President of the Assembly shall request component bodies to provide members to fill vacancies on the Assembly as they occur.

Section 3. Officers (Constitution Article IV)

A. President. The President shall be the presiding officer of the Assembly, with the responsibility for appointing special

committees of the Assembly. The President shall chair the Executive Committee. The new President of the Assembly shall be elected by the May meeting.

- B. The President shall be an ex-officio, non-voting member of all elected and appointed committees, except the Grievance Council, of the Assembly. The President may appoint the Vice President as the designated representative on such committees.
- C. Vice President. The Vice President shall preside at meetings in the absence of the Assembly President. The Vice President shall be elected by the May meeting.
- D. The President and Vice President shall not be from the same constituency.
- E. Representatives to the System wide Governance Council (SGC) shall be decided as follows. The USUAA President or his/her designee shall represent students. The Assembly President and the Vice President shall serve as the faculty and staff representatives providing that one of the officers is not a student. If so, the USUAA President will be a representative to SGC only in the capacity of USUAA President. The constituent body that is not represented in the SGC shall appoint an Assembly member to serve in that position.

Section 4. Committees (Constitution Article V)

- A. The Standing Committees of the Assembly are:
 - 1. The Executive Committee; and
 - 2. The Grievance Council.
- B. The Executive Committee shall consist of the President, Vice President, and the presidents of the component bodies or their designated representatives. The Executive Committee shall be empowered to act in the name of the University Assembly.
- C. The duties of the Executive Committee shall consist of the following:
 - 1. Recommend ad hoc committees deemed necessary to facilitate Assembly business;
 - 2. Recommend the establishing of additional standing committees and will, annually, review the need for existing standing committees;
 - 3. Serve as liaison with statewide bodies and the Office of the President as necessary to ensure open

communications on university matters; and

- 4. It shall also be the responsibility of the Executive Committee to certify that elections which affect the Assembly membership are conducted in a manner which protects each individual member's right to vote privately.
- D. The Grievance Council of the University of Alaska Anchorage shall function in accordance with the statewide grievance procedures. Its members shall include two faculty, two APT, and two classified employees elected by, but not from, the Assembly and one employee appointed by the Chancellor. The Council shall ask the student government to provide a student to serve temporarily as an additional voting member when the grievant is a student employee. Members of the Grievance Council will serve two-year staggered terms.
- E. Actions by any component body which affect any other component body must be reviewed by the Assembly.

Section 5. Meetings (Constitution Article VI)

- A. There shall be a minimum of eight regular meetings each academic year.
- B. Other meetings may be held on special call of the President of the Assembly or a majority of the Executive Committee.
- C. All meetings of the Assembly, the Executive Committee, standing and ad hoc committees are open to all members of the university and the general public; however, only members of the Assembly may participate in the meeting. A period for comment by non-members of the Assembly shall be provided for on each item of business.
- D. The agenda of each regular or special meeting of the Assembly shall be distributed to the members of the Assembly at least two (2) calendar days prior to the meeting and in the appropriate computer bulletin board.

A computer mail message to an assembly member shall be considered as a duly authorized method of distributing Assembly public meeting notices, agendas, minutes, and general information.

In the case of special meetings, if, at the direction of the Executive Committee, the urgency of the occasion will not permit the usual notice, notice (either by phone, mail, or through the university computer system)

shall be given as far in advance as possible, together with a statement of the reasons for the lack of normal notice.

- E. Any regular or special meeting of the Assembly or of any of its bodies may be conducted by audio conference.
- F. Items for business may be presented only by a member of the Assembly. All proposals, except those made by a member during a meeting, will be presented to the Assembly President for listing on the agenda. All proposals must be submitted in writing by the mover of the proposal.

**Section 6. Parliamentary Authority
(Constitution Article VIII)**

- A. No speaker shall speak for more than five (5) minutes on any one topic.
- B. The Executive Committee may set time limits on each item on the agenda and when this time limit shall be reached, the item shall automatically be carried to the end of the agenda unless extended by a two-thirds vote of the members present.

Section 7. Amendments (Constitution Article IX)

These Bylaws may be amended by the Assembly by a simple majority vote of the members present and voting at any meeting of the body. A first reading shall be held and action shall not be taken on the proposed amendment until a second reading at the next meeting of the Assembly. Proposed amendments to the Bylaws shall be distributed in writing to Assembly members prior to the meeting at which the amendments will be voted on.

**Section 8. Actions of the Assembly
(Constitution Article X)**

Actions of the Assembly shall be forwarded to the Chancellor of the University of Alaska Anchorage by the Executive Committee. Motions of the Assembly are acts of legislation for the University of Alaska Anchorage and resolutions of the Assembly are generally advisory in nature unless specifically stated otherwise.

UNIVERSITY ASSEMBLY OFFICERS AND MEMBERS

2008 - 2009 ACADEMIC YEAR

For a current list of Assembly Officers, visit: www.uaa.alaska.edu/governance

**CHAPTER IX: FACULTY
SENATE CONSTITUTION
AND BYLAWS**

FACULTY SENATE CONSTITUTION AND BYLAWS

CONSTITUTION OF THE FACULTY SENATE

The faculty of the University of Alaska Anchorage, in order to provide a forum for and create a voice to address university-life issues including curriculum, student success, institutional development, and professional development, establish this constitution.

Article I. Name

Section 1: The name of this organization shall be the Faculty Senate of the University of Alaska Anchorage (hereafter referred to as Faculty Senate).

Article II. Purposes, Responsibility and Authority

Section 1: The Faculty Senate shall carry out its functions subject to the statewide authority of the Board of Regents within the laws of the State of Alaska (BOR Policy 03.01).

Section 2: The purposes of the Faculty Senate are:

- A. To provide official representation for faculty of the University of Alaska Anchorage in matters which affect the general welfare of the university and its educational programs.
- B. To serve as an agency by which information of general concern and interest to the University of Alaska Anchorage faculty may be freely collected, disseminated and discussed.
- C. To function as the legislative body having primary authority to initiate, develop, review and recommend policy of the University of Alaska Anchorage, including but not limited to:
 1. Academic Matters
 - a. Degree requirements,
 - b. Program approval,
 - c. Course approval,
 - d. Admissions policies,
 - e. Instructional policies,
 - f. Transfer policies,
 - g. Academic advising,
 - h. Assessment of incoming students,
 - i. Outcomes of courses,
 - j. Distance education,
 - k. Library
 - l. And other matters directly concerned with the academic

- programs of the University of Alaska Anchorage.
2. Faculty Matters
 - a. Tenure,
 - b. Promotion,
 - c. Leave,
 - d. Appointment, reappointment and termination,
 - e. Professional ethics,
 - f. Faculty development,
 - g. Grants,
 - h. Other matters affecting the welfare of the faculty.
3. Physical Facilities and Equipment
 - a. Academic computing,
 - b. Instructional technology,
 - c. Classrooms,
 - d. Other facilities affecting the quality of instruction.
4. University Community
 - a. Diversity,
 - b. Continuing education,
 - c. Community outreach,
 - d. Safety,
 - e. Other issues affecting students, faculty, and the community.
- D. To provide consultative and advisory services to the Chancellor of the University of Alaska Anchorage in matters including but not limited to:
 1. Budget,
 2. Calendar,
 3. Administrative appointments,
 4. Physical facilities,
 5. Telecommunications,
 6. Offices,
 7. Parking,
 8. Computing,
 9. Other matters affecting the general welfare.
- E. To provide consultative and advisory services to the Faculty Alliance in matters including but not limited to:
 1. Budget,
 2. Calendar,
 3. Administrative appointments,
 4. Physical facilities,
 5. Computing,
 6. Distance education,
 7. Coordinated policies,
 8. Telecommunications,
 9. Other matters affecting the general welfare.

Article III. Membership

Section 1: Those eligible for membership in the Faculty Senate shall be tenured, tenure track or term faculty members with a .5 FTE or greater, non-administrative assignment, and who hold the rank of Instructor, Assistant Professor, Associate Professor, or Professor. Faculty members on any type of Sabbatical leave are not eligible to serve as members of the Faculty Senate and must relinquish the position.

Section 2: The membership of the Faculty Senate shall consist of elected representatives (hereafter referred to as Senators).

Section 3: Each of the following units shall elect Senators at a ratio of one Senator per fifteen eligible members, with each unit having at least one Senator. Senators will be elected to staggered two-year terms.

- A. College of Arts and Sciences,
- B. College of Business and Public Policy,
- C. College of Education,
- D. College of Health and Social Welfare,
- E. Community and Technical College,
- F. School of Engineering,
- G. Consortium Library,
- H. Kenai Peninsula College,
- I. Kodiak College,
- J. Matanuska-Susitna College,
- K. Student Affairs.

The faculty of schools and colleges with departments or other logical subdivisions may vote to apportion the selection of senators to represent departments or groupings.

Section 4: There shall be eight (8) Senators elected at large.

Section 5: A faculty member may vote or be nominated for Senate representatives in only one unit. That unit must be the unit of primary appointment or, in the case of evenly split appointment, the unit of the faculty member's choice.

Section 6: Senators shall be elected no later than April 15. Voting will be by secret, mail-in ballot. Candidates shall be elected by a simple majority of those responding. If two seats of unequal duration are available, the faculty member with the greatest number of votes serves the longer term. If a faculty member wins both a senate position at-large and for a unit, the Nominations and Elections Committee will determine which one of the offices will be filled by that member.

Section 7: The terms of newly elected Senators shall commence at the beginning of "New

Business" of the last regularly scheduled Senate meeting of the academic year.

Section 8: Any voting member of the Senate may be recalled according to the provision of the bylaws.

Section 9: Reapportionment shall be done upon a two-thirds vote of the Senate.

Section 10: Senate Representatives to Boards and Committees vacancies shall be elected by the Faculty Senate annually at the May meeting, and committee vacancies shall be elected by the Faculty Senate annually at the August meeting.

Section 11: A senator or academic board member may run for re-election in the final year of his or her term and not before.

Article IV. Officers

Section 1: The officers of the Faculty Senate shall be the President, First Vice President, and Second Vice President.

Section 2: Any faculty member, as defined in Article III, Section 1, shall be eligible to serve as an officer.

Section 3: The officers shall be elected from and by the faculty at large.

Section 4: The term of office for the President, First Vice President, and Second Vice President shall be one (1) year.

Section 5: The President shall preside at Executive Board meetings and Senate meetings. The President shall serve as a representative of the Faculty Senate to the Council of Deans and Directors, to the Faculty Alliance, to the University Assembly and to the Chancellor's Advisory Council.

Section 6: The First Vice President shall be the President-elect and shall serve as a representative of the Faculty Senate to the Council of Deans and Directors, the University Assembly and the Faculty Alliance.

Section 7: The Second Vice President shall assist the President and First Vice President in the performance of all duties and responsibilities relative to the business of the Faculty Senate. The Second Vice President shall chair the Nominations and Elections Committee. The Second Vice President shall serve as a representative of the Faculty Senate to the University Assembly.

Section 8: The Chair of the Undergraduate Academic Board or the Chair of the Graduate Academic Board or his/her designated representative from the respective Board

shall serve as a representative of the Faculty Senate to the Faculty Alliance.

Section 9: If for any reason the President should relinquish or be recalled from office, the first Vice President will automatically and immediately assume the Presidency.

Section 10: If for any reason the first Vice President should relinquish or be recalled from office, the President will call an election.

Section 11: If for any reason the second Vice President should relinquish or be recalled from office, the President will call an election.

Section 12: The terms of newly elected Officers shall commence at the beginning of “New Business” of the last regularly scheduled Senate meeting of the academic year.

Section 13: The President, First Vice President, and Second Vice President of the Faculty Senate, together with the chairpersons of the Undergraduate Academic Board; the Graduate Academic Board; and the Past President, who shall be an ex officio, non-voting member; shall constitute the Executive Board of the Faculty Senate. The Executive Board shall be empowered to act in the name of the Senate on an emergency basis. Any actions taken by the Executive Board are subject to Senate review at the next meeting of the Faculty Senate.

Article V. Boards and Committees

Section 1: There shall be two (2) permanent boards and ten (10) standing committees of the Faculty Senate, as well as those committees established by the Bylaws. The Committee Chairs may appoint ex-officio non-voting members.

- A. Undergraduate Academic Board
General Education Review (GERC),
- B. Graduate Academic Board,
- C. Committee,
 1. Academic Computing, Distance Learning, and Instructional Technology,
 2. Student Academic Support and Success,
 3. Budget, Planning and Facilities Advisory,
 4. Nominations and Elections Committee,
 5. Diversity and Indigenous Peoples,
 6. Library Advisory,
 7. Professional Development,

8. Faculty Evaluation,
9. Faculty Grants and Leave,
10. Ad hoc committees as described in Sections 7-9.

Section 2: Senate members of permanent boards and committees shall serve two-year terms. The terms of newly elected Board members shall commence at the beginning of “New Business” of the last regularly scheduled Senate meeting of the academic year, unless otherwise noted in the Bylaws. The membership on these Boards and Committees shall be chosen in accordance with the procedures laid down in the Bylaws of the Faculty Senate.

Section 3: Membership on the Undergraduate Academic Board and the Graduate Academic Board is limited to tenured and tenure-track faculty members whose FTE workload during the term of appointment consists of less than 50% administration and at least 20% teaching.

Section 4: The specific functions of the permanent boards and committees shall be those established by the Bylaws of the Faculty Senate. Additional functions may be assigned to the boards and committees by a simple majority vote of the membership of the Faculty Senate present and voting at a regular meeting.

Section 5: Approved actions of the permanent boards and committees shall be submitted to the Faculty Senate at each regular meeting of the Faculty Senate in accordance with the provisions of the Bylaws of the Faculty Senate. Such actions of the permanent boards and committees shall be deemed enactments of the Faculty Senate when confirmed by a simple majority vote of the membership present and voting. If a board or committee does not present any approved actions during the academic year, a written report of the year’s activities shall be presented to the Faculty Senate at the May meeting.

- A. The Faculty Senate may, by a majority vote of the members present, empower Boards and Committees to act in the name of the Senate.
- B. The Undergraduate Academic Board and Graduate Academic Board are empowered to act in the name of the Faculty Senate on the following issues:
 1. All requests for permanent numbers including those from Community

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- Campuses.
 2. Change in credit hours, grading basis or course level.
 3. Addition/deletion of courses with permanent numbers.
 4. Stacking/Cross-listing of courses.
- Section 6: Each permanent board and committee shall have a chairperson elected by a majority vote of its members.
- Section 7: The Executive Board may establish any ad hoc committee it deems necessary for the conduct of Faculty Senate business. Ad hoc committees established by the Executive Board are subject to approval by the Faculty Senate at the next regularly scheduled Faculty Senate meeting.
- Section 8: By the majority vote of those present and voting at any meeting, the Faculty Senate may establish any ad hoc committee it deems necessary for the conduct of Faculty Senate business. The President shall appoint the members of any ad hoc committee. Such committees shall submit their actions to the Faculty Senate in accordance with the provisions of the Bylaws of the Faculty Senate.
- Section 9: Senate ad hoc committees shall cease to exist when work is completed or no later than the last regularly scheduled Senate meeting of the academic year.
- Section 10: The President of the Faculty Senate shall be an ex-officio, non-voting member of each of the permanent boards and all the elected and appointed committees of the Faculty Senate.
- Section 11: The President of the Faculty Senate shall notify the Chancellor in writing within ten working days of any action taken by the Senate which affects administrative practice.
- Section 12: The position of any member of a permanent board or committee shall be vacated if the occupant fails to attend two consecutive regularly scheduled meetings.
- Section 13: The position of any Senator shall be vacated if the occupant fails to attend two consecutive regularly scheduled meetings or fails to attend four regularly scheduled meetings in an academic year.
- Section 14: The position of Board or Committee Chair shall be vacated if the occupant fails to attend two consecutive regularly scheduled meetings of the Board or Committee; or if the occupant fails to attend two consecutive regularly scheduled Senate meetings.
- Section 15: Senate, permanent board, and

- committee vacancies that occur after a regularly scheduled annual election shall be expeditiously filled in the manner designated for that position in the Constitution and shall be for the unexpired term of the position.
- Section 16: Board and Committee Chairs may appoint ex-officio, non-voting members.
- Section 17: A member of the Undergraduate Academic Board or Graduate Academic Board may designate a voting substitute for a meeting from which the board member will be absent. This substitute must be eligible for membership on the board. Voting substitutes are not allowed on Faculty Senate committees. The presence of a voting substitute means that the absence of the elected member does not count.

Article VI. Meetings

- Section 1: The Senate shall meet once a month from August through December and February through May. Other meetings, including electronic voting meetings, may be held on the special call of the President of the Faculty Senate. Only matters pertaining to course or program approval may be voted on electronically. Electronic voting meetings during the period between May and August can be called only on an emergency basis by the President of the Faculty Senate, at the written request of the Undergraduate and/or Graduate Academic Boards. The results of any electronic voting during the May-August period must be reported to the Senate at its regularly scheduled meeting.
- Section 2: The Senate shall conduct two (2) Faculty Assembly meetings each academic year; one (1) in the fall semester and one (1) in the spring semester.
- Section 3: The second Vice President shall convene a Special Nominations Meeting within one week of the start of balloting for membership.
- Section 4: The business of the Faculty Senate shall be conducted in accordance with its Bylaws.

Article VII. Quorum

- Section 1: The presence of fifty (50) percent of the membership shall constitute a quorum.

Article VIII. Parliamentary Authority

- Section 1: The parliamentary authority shall be the latest edition of Robert's Rules of Order. The President shall appoint a parliamentarian each year.

Article IX. Amendments

Section 1: Amendments to the Constitution may be proposed by any tenured or tenure track member of the faculty eligible to serve as a Senator.

Section 2: Copies of proposed amendments shall be sent to all members of the Faculty.

Section 3: The President shall schedule a first reading and discussion of the proposed amendment at the first meeting of the Faculty Senate following distribution of copies of the proposed amendment. The second reading of a proposed amendment may be held no sooner than the second regular meeting following the distribution of copies. Any tenured or tenure track faculty member eligible to serve as a Senator may participate in floor discussions during the first and second readings.

Section 4: Following the second reading, the amendment shall be voted on by mail, by all faculty members eligible to serve as a Senator, as described in Article III, Section 1, of this Constitution. Amendments shall be approved by a two-thirds vote. The vote shall be considered invalid if fewer than 25% of the voting membership respond. A Motion to reconsider may be made only at the following meeting.

Article X. Referendum

Section 1: Any tenured or tenure track or term faculty member with a teaching load of at least 50% may bring a motion before the Senate by submitting a petition signed by a minimum of 20% of the full-time faculty.

- A. The petition shall be considered to second the motion.
- B. The Senate must consider this motion at the meeting following the submission of the petition.
- C. This petition may include a requirement that the entire faculty be notified of the discussion of the petition on the Senate floor and that interested faculty members be included in the floor discussions.
- D. This petition may include a requirement that the vote be put to all tenured, tenure track and term faculty who are eligible to be elected to the Faculty Senate, by secret ballot.

Section 2: If a petition is submitted to rescind or amend an action of the Senate,

- A. The Senate shall, after discussion, vote on the motion to rescind or amend the

motion. If the Senate concurs with the motion, the original action shall be considered rescinded or amended as appropriate.

- B. If the Senate does not concur with the motion, the question shall be put to the entire faculty by secret, mail-in ballot.

Section 3: If a question is put to all tenured, tenure track and term faculty eligible to be elected to the Faculty Senate, voting will be by secret ballot, supervised by the officers of the Senate, and will be passed by a simple majority of those responding. The vote will be considered invalid if less than 25% of the faculty respond.

Article XI. Effective Date of Enactments

Section 1: Enactments of the Faculty Senate shall become effective upon the recommendation of the Provost, and the approval of the Chancellor.

Section 2: The Chancellor shall act to approve or disapprove any enactment of the Faculty Senate within fifteen (15) working days of the date it is submitted for approval.

Section 3: Approval of a Faculty Senate action by the Chancellor constitutes approval of the enactment. Actions of the Senate may not be partially approved and partially disapproved nor may they be approved as modified or amended by the Chancellor.

Section 4: The Chancellor shall convey in writing to the Faculty Senate the reasons for disapproval within fifteen (15) working days of the date of the disapproval.

Section 5: Any action approved by the Senate and disapproved by the Chancellor's Office may be submitted to a reconciliation committee upon a two-thirds vote of the Senate. Up to three (3) members appointed by the Senate and up to three (3) members appointed by the Chancellor's Office shall constitute a reconciliation committee whose task it shall be to formulate recommendations to the Senate and the Chancellor's office.

Section 6: If the Senate and the Chancellor's Office are not able to resolve the impasse, then the Senate, upon a two-thirds vote, may elect to forward its previous action through the University of Alaska governance structure as provided for under Regents' policy.

**BYLAWS OF THE CONSTITUTION OF
THE FACULTY SENATE**

Section 1. (Article III. Membership)

- A. Nomination of Senators
1. The Nominations and Elections Committee shall prepare a slate of candidates for Senate positions to be presented at the Special Nominations Meeting held within one week of the start of balloting for membership.
 2. The slate of candidates may be augmented by nominations from the floor of the Senate at the Special Nominations Meeting. Nominations shall be made in accordance with Article III, Sections 3, 4 and 5 of the Constitution.
- B. Election of Senators
1. Election of Senators shall be by written ballot.
 2. Faculty Members shall vote in accordance with Article III, sections 3, 4 and 5 of the Constitution.
 3. The terms of the newly elected Senators shall commence at the beginning of "New Business" of the last regularly scheduled Senate meeting of the academic year.
- C. Recall of Senators
1. Any elected Senator may be recalled by a two-thirds vote of all qualified voters in the Senator's unit as defined in Article III, Sections 3, 4 and 5 of the Constitution casting ballots in a recall election held in accordance with paragraph (2) below. Recall shall be effective immediately upon tabulation of all ballots cast.
 2. A recall election shall be held upon receipt by the Faculty Senate Executive Board of a written petition signed by at least 10% of the tenured and tenure track faculty members in the Senator's unit as defined in Article III, Sections 3, 4 and 5 of the Constitution, which sets forth the basis for recall. A copy of the petition shall be provided to the Senator who is the subject of the petition. Announcement of a pending recall election shall be published in the agenda for the next Faculty Senate meeting, and the Senator whose recall is being sought shall be provided an opportunity to address the Faculty Senate at that meeting if the Senator so desires. At the

Faculty Senate Executive Board's discretion, other members of the faculty may be permitted a reasonable opportunity to address the body, either in favor of or in opposition to the recall petition. A recall election shall then be conducted by mail within 14 days after the meeting.

Section 2. (Article IV. Officers)

- A. Nomination of Officers
1. The Nominations and Elections Committee shall prepare a slate of candidates for the officer positions of President, first Vice President, and second Vice President to be distributed to the faculty at large prior to the Special Nominations Meeting in the last week of March. The slate of candidates may be augmented by nominations from the floor at the Special Nominations Meeting.
- B. Election of Officers
1. Officers shall be elected by the faculty at large following the Special Nominations Meeting.
 2. Election of officers shall be by mail-in ballot.
 3. The terms of the newly elected officers shall commence at the beginning of "New Business" of the last regularly scheduled Senate meeting of the academic year.
- C. Recall of Officers
1. Any elected officer may be recalled by a two-thirds vote of all qualified voters casting ballots in a recall election held in accordance with paragraph (2) below. Recall shall be effective immediately upon tabulation of all ballots cast.
 2. A recall election shall be held upon receipt by the Faculty Senate Executive Board of a written petition signed by at least 10 % of the tenured and tenure-track faculty members which sets forth the basis for recall. A copy of the petition shall be provided to the officer who is the subject of the petition. Announcement of a pending recall election shall be published in the agenda for the next Faculty Senate meeting, and the officer whose recall is being sought shall be provided an opportunity to address the Faculty Senate at that meeting if the officer so desires. At the

Faculty Senate Executive Board's discretion, other members of the faculty may be permitted a reasonable opportunity to address the body, either in favor of or in opposition to the recall petition. A recall election shall then be conducted by mail within 14 days after the meeting.

Section 3. (Article V. Boards and Committees)

(1), (2), (3), (4) and (5) will apply to the Following committees: Academic Computing, Distance Learning, and Instructional Technology; Student Academic Support and Success; Budget, Planning and Facilities Advisory; Diversity; Library Advisory; and Professional Development.

- (1) Senate shall select a minimum of three Senators for the Committee, with a maximum of two Senators from any unit as defined in Article III, section 3, subsections A-K, and section 4 of the Constitution.
- (2) A Senate member of the Committee shall convene the first meeting.
- (3) New and continuing members shall elect the chair(s) no later than May 15, with service to begin June 1. The Chair or a Co-chair must be a member of the Faculty Senate.
- (4) The Committee shall present an outline of its yearlong agenda and goals to the Faculty Senate no later than the regularly scheduled October meeting.
- (5) The Committee shall present a report of its yearlong activities to the Faculty Senate at the regularly scheduled May meeting. It is recommended that committees with overlapping interests hold at least one joint meeting in the spring semester.

A. Composition of the Undergraduate Academic Board. Faculty members on Sabbatical are not eligible to serve as members of the Undergraduate Academic Board and must relinquish the position.

1. Each of the units listed in Article III, Section 3, of the Constitution shall elect representatives to the Undergraduate Academic Board so that total membership on the Board is the equivalent of one representative for each sixty (60) or fraction thereof of faculty members who meet the requirements laid down in Article V, Section 3, of the Constitution.
2. The Senate shall chose four (4) members

to serve on the Board.

Senate Representation:

- a. Arts and Sciences (1)
 - b. At large members (3)
3. Non-Senate Faculty Members shall be elected by faculty within their respective units as defined in Article III, Section 3 of the Constitution.
- Non-Senate Faculty Representation:
- a. Arts and Sciences
 - b. College of Business and Public Policy
 - c. College of Education
 - d. College of Health and Social Welfare
 - e. Community and Technical College
 - f. School of Engineering
 - g. Consortium Library
 - h. Matanuska-Susitna College
 - i. Kenai Peninsula College
 - j. Kodiak College
 - k. Student Affairs
 - l. Adjunct (Part-time) Faculty

Matanuska-Susitna College, Kenai Peninsula College and Kodiak College may attend the meetings of the Undergraduate Academic Board as voting members via remote link.

4. Faculty holding appointments of less than .50 FTE (hereafter called adjunct or part-time faculty) may collectively elect one representative to the Undergraduate Academic Board.
5. Faculty members of the Board for Undergraduate Academic Board shall serve two-year staggered terms.
6. The students of the University of Alaska Anchorage may appoint one undergraduate or certificate-seeking student to voting membership on the Undergraduate Academic Board. The method of selection of the student representative shall be the responsibility of the student government.
7. New and continuing members of the Board shall elect the chairperson no later than May 15, with service to begin June 1. The Chair shall be elected by the Board from those members who are in the second year of their terms or who have served at least one previous term of office. If the Chair is not an elected senator, the Chair shall become an ex-officio, voting member of the Senate.

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8. One representative from the Office of Academic Affairs, appointed by the Provost, one representative from the Office of the Registrar, and one representative from Enrollment Services, Publications and Scheduling, shall be ex-officio and non-voting members of the Undergraduate Academic Board. The Governance Office shall be responsible for coordinating the activities of the Undergraduate Academic Board.
- B. Functions and Responsibilities of the Undergraduate Academic Board
1. The Board may initiate and review all academic policies of undergraduate programs as defined in Article II, Section 2, subsection c(1) of the Faculty Senate constitution.
 2. Subject to Article V, Section 5, 5a, and 5b of the Constitution, the Board shall have the authority to
 - a. Approve all new permanent numbered courses, including those from Community Campuses, and changes in number, content, title, and description of existing undergraduate courses;
 - b. Review and recommend any changes in existing undergraduate degree and undergraduate certificate programs, which have been initiated by program faculty;
 - c. Review and recommend any new undergraduate degree or undergraduate certificate programs, which have been initiated by faculty.
 3. The Board may forward issues about academic computing, distance learning, instructional technology or telecommunications to the Academic Computing, Distance Learning, and Instructional Technology Committee. These requests may include a request for a timely response.
 4. Approved actions of the Board shall be submitted for review to the Faculty Senate at the next regularly scheduled meeting of the Senate.
 5. The Chair of either the Undergraduate Academic Board or the Graduate Academic Board may request that the Faculty Senate establish a joint special committee to consider matters of mutual concern to the Academic Boards.

6. The Undergraduate Academic Board shall present an outline of its yearlong agenda and goals to the Faculty Senate no later than the regularly scheduled October meeting.
7. The Undergraduate Academic Board shall present a report of its yearlong activities to the Faculty Senate at the regularly scheduled May meeting.

The General Education Review Committee (GERC) is a standing committee of the Undergraduate Academic Board (UAB) reporting to the Undergraduate Academic Board.

The Committee shall: (with respect to course actions and reviews)

1. Apply the current UAA catalog's GER category descriptors and GER Student Outcomes as primary criteria for evaluating all GER courses for inclusion in specific categories of the General Education curriculum. Tier 3: Integrative Capstone courses have additional criteria (see governance2.uaa.alaska.edu/ger/tier3model)
2. Review all requests to add to, delete from, or substantively modify the courses in the General Education curriculum;
3. Recommend course actions to the Board based on the criteria;
4. Facilitate the overall review and processing of General Education course actions by working with initiators and departments;
 - o Expedite the review of course action requests currently on hold (with respect to policy)
5. Review all requests to modify General Education Requirements or policies;
6. Recommend actions to the Board based on the review;
7. Undertake such additional tasks or responsibilities relating to GERs as assigned by the Board.

C. Composition of the Graduate Academic Board. Representation on the Graduate Academic Board is limited to faculty representing graduate programs. Faculty members on Sabbatical are not eligible to serve as members of the Graduate Academic Board and must relinquish the position.

1. The Senate shall chose four (4) members to serve on the Board:

College of Arts and Sciences	(1)
At large members	(3)
2. Non-Senate Faculty Members shall be elected by faculty within their respective

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- units as defined in Article III, Section 3 of the Constitution.
 - College of Arts and Sciences (2)
 - College of Business & Public Policy (2)
 - College of Education (1)
 - College of Health and Social Welfare (1)
 - Community and Technical College (1)
 - School of Engineering (1)
 - Consortium Library (1)
3. Faculty members of the Board for Graduate Academic Board shall serve two-year staggered terms.
 4. The students of the University of Alaska Anchorage may appoint one graduate student to voting membership on the Graduate Academic Board. The method of selection of the student representative shall be the responsibility of the student government.
 5. Newly elected and continuing members of the Board shall elect the chairperson no later than May 15, with service to begin June 1. The Chair shall be elected by the Board from those members who are in the second year of their terms or who have served at least one previous term of office. If the Chair is not an elected senator, the Chair shall become an ex-officio, voting member of the Senate.
 6. One representative from the Office of Academic Affairs, appointed by the Provost, one representative from the Records Office, and one representative from the Curriculum Office shall be ex-officio and non-voting members of the Graduate Academic Board. The Governance Office shall be responsible for coordinating the activities of the Graduate Academic Board.
- D. Functions and Responsibilities of the Graduate Academic Board
1. The Board may initiate and review all academic policies of graduate programs as defined in Article II, Section 2, subsection c (1) of the Faculty Senate Constitution.
 2. Subject to Article V, Sections 5, 5a, and 5b of the Constitution, the Board shall have the authority to:
 - a. Approve all new permanent numbered courses, including those from Community Campuses, and changes in number, content, title, and description of existing graduate courses;
 - b. Review and recommend any changes in existing graduate degree and graduate certificate programs; which have been initiated by program faculty;
 - c. Review and recommend any new graduate degree or graduate certificate programs, which have been initiated by faculty.
3. The Board may forward issues about academic computing, distance learning, instructional technology or telecommunications to the Academic Computing, Distance Learning, and Instructional Technology Committee. These requests may include a request for a timely response.
 4. Approved actions of the Board shall be submitted for review to the Faculty Senate at the next regularly scheduled meeting of the Senate.
 5. The Chair of either the Undergraduate Academic Board or the Graduate Academic Board may request that the Faculty Senate establish a joint special committee to consider matters of mutual concern to the Academic Boards.
 6. The Graduate Academic Board shall present an outline of its yearlong agenda and goals to the Faculty Senate no later than the regularly scheduled October meeting.
 7. The Graduate Academic Board shall present a report of its yearlong activities to the Faculty Senate at the regularly scheduled May meeting.
- E. Composition of the Academic Computing, Distance Learning, and Instructional Technology Committee
1. The Senate shall select four (4) members for the Committee, with a maximum of two (2) Senators from any unit as defined in Article III, Section 3, subsections a-j, and Section 4 of the Constitution.
 2. A Senate member of the Committee shall convene the first meeting.
 3. Membership on the committee is open to any faculty member who submits their name to the Nominations and Elections Committee, or to a Senate member of the Academic Computing, Distance Learning, and Instructional Technology Committee by April 20 or as vacancies

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- faculty to the Chancellor and the Faculty Alliance on the budget matters as defined in Article II, Section 2, subsections d (1), (3), and (8) and subsections e (1), (3), and (5) of the Faculty Senate constitution including, but not limited to, budget and planning, administrative appointments, and computing.
2. The Committee may initiate and review all policies affecting the facilities and equipment of the university as defined in Article II, Section 2, subsections c (3) and (4) of the Faculty Senate constitution including, but not limited to, physical facilities, safety, parking, offices, space, and classrooms.
 3. The Committee shall represent the faculty to the Chancellor and the Faculty Alliance on the budget as defined in Article II, Section 2, subsections d (4), (6), (7) and (8) and subsection e (4) of the Faculty Senate constitution including, but not limited to, physical facilities, safety, parking, offices, space, and classrooms.
 4. The Committee shall present an outline of its yearlong agenda and goals to the Faculty Senate no later than the regularly scheduled October meeting.
 5. The Committee shall present a report of its yearlong activities to the Faculty Senate at the regularly scheduled May meeting.
- K. Composition of the Nominations and Elections Committee
1. The Nominations and Elections Committee will consist of the second Vice President and two members elected by the faculty. The two elected faculty must be eligible to serve on the Faculty Senate. The chair shall be the Second Vice President of the Faculty Senate, with service to commence at the beginning of “New Business” at the last regularly scheduled senate meeting of the academic year.
- L. Functions and Responsibilities of the Nominations and Elections Committee
1. To prepare slates of candidates for Senators and alternates.
 2. To prepare a slate of candidates for the posts of President, First Vice President, and Second Vice President of the Senate.
 3. To prepare slates of candidates to serve in at-large positions on boards and committees.
4. To prepare slates of candidates to serve on all boards and committees, which include representation from the Faculty Senate.
 5. The Committee shall present an outline of its yearlong agenda and goals to the Faculty Senate no later than the regularly scheduled October meeting.
 6. The Committee shall present a report of its yearlong activities to the Faculty Senate at the regularly scheduled May meeting.
- M. Composition of the Diversity Committee
1. Membership on the committee is open to any faculty member who submits their name to the Nominations and Elections Committee, or to a Senate member of the Diversity Committee by April 20 or as vacancies permit.
- N. Functions and Responsibilities of the Diversity Committee
1. The Committee may initiate and review all policies affecting diversity in faculty and student populations, including community outreach, as defined in Article II, Section 2, subsection c (4) of the Faculty Senate constitution.
 2. The Indigenous Peoples Committee will be a standing committee of the Diversity Committee.
 3. The Indigenous Peoples Committee may initiate and review all policies affecting indigenous faculty and students.
- O. Composition of the Library Advisory Committee
1. Membership on the committee is open to any faculty member who submits their name to the Nominations and Elections Committee, or to a Senate member of the Library Advisory Committee, by April 20 or as vacancies permit.
- P. Functions and Responsibilities of the Library Advisory Committee
1. The function of the Committee shall be to advise the Director of the Library with regard to collection development, levels of service, and other policies affecting use of the Library to the Faculty Senate no later than the regularly scheduled October meeting.
 2. The Committee shall present a report of its yearlong activities to the Faculty Senate at the regularly scheduled May
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- meeting.
- Q. Composition of the Professional Development Committee
1. Membership on the Committee is open to any faculty member who submits their name to the Nominations and Elections Committee, or to a Senate member of the Professional Development Committee, by April 20 or as vacancies permit.
- R. Functions and Responsibilities of the Professional Development Committee
1. The Committee may initiate and review all policies affecting faculty as defined in Article II, Section 2, subsection c (2) and subsection c (3) of the Faculty Senate constitution including, but not limited to, professional development matters relating to teaching, research, and service. In addition, the committee will advocate for professional development opportunities for faculty and will participate in strategic planning processes related to professional development.
 2. The Committee shall present an outline of its yearlong agenda and goals to the Faculty Senate no later than the regularly scheduled October meeting.
 3. The Committee shall present a report of its yearlong activities to the Faculty Senate at the regularly scheduled May meeting.
- S. Composition of the University-Wide Faculty Evaluation Committee
- The Faculty Senate shall establish one University-Wide Faculty Evaluation Committee consisting of a total of fifteen (15) tenured full professors, five (5) from each workload track (Bipartite Vocational, Bipartite Academic, and Tripartite Academic). No more than two (2) faculty members may be from an individual school or college in each Bipartite Academic and Tripartite Academic workload category. Tenured associate professors will be elected if there are insufficient numbers of full professors to staff the committee. All faculty members who serve on this committee shall be elected by the faculty at large to three-year terms. No one on a promotion or tenure committee at a prior level, and no one standing for promotion or tenure is eligible to serve on the committee. Elections shall be held annually, and in each year seven or eight members shall be elected. No faculty member

- who holds an administrative appointment (dean, associate dean, assistant dean) in the university is eligible. No member may be elected to more than two successive two-year terms. The committee shall establish subcommittees composed of committee members for the purposes of evaluation of individual faculty. Each subcommittee shall include a majority of representatives from the same workload track as the faculty member being evaluated and at least one member from each of the other tracks. No committee member may review files nor participate in a meeting where files are being reviewed when the committee member's or an immediate family member's file is being reviewed.
- T. Functions and Responsibilities of the University-Wide Faculty Evaluation Committee
1. To review and recommend policies on tenure, promotion, appointment, reappointment, and termination as defined in Article II, Section 2, subsections c. (2) of the Faculty Senate constitution.
 2. To review school and college evaluation criteria and processes for consistency with Board of Regents and University Policies, and to make change recommendations to the Provost.
 3. To review the recommendations of school and college peer review committees and of deans and directors for their consistency with Board of Regents' and University Policies and with the requirements adopted by the schools and colleges.
 4. To make recommendations on faculty promotion and tenure to the Provost.
- U. Composition of the Faculty Grants and Leave Committee
- Tenured or tenure track faculty elected from the following units:
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|---------------------------------------|-----|
| College of Arts and Sciences | (3) |
| College of Business and Public Policy | (1) |
| College of Education | (1) |
| College of Health and Social Welfare | (1) |
| Community and Technical College | (2) |
| School of Engineering | (1) |
| Consortium Library | (1) |
- The Committee shall be composed of faculty members serving three year, staggered terms. No committee member may review sabbatical files or participate in a meeting where sabbatical files are being reviewed

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- when the committee member's or an immediate family member's file is being evaluated.
- V. Functions and Responsibilities of the Faculty Grants and Leave Committee
1. The Committee may initiate and review grant and leave policies as elements in academic and faculty affairs subject to statewide authority. Grant and leave policies include, but are not limited to, policies concerning:
 - a. Release time and research and faculty development workload measurement,
 - b. Categorization and prioritization of objectives,
 - c. Support services,
 - d. Allocations among units,
 - e. Standards,
 - f. Research and faculty development opportunities,
 - g. Sabbatical leave.
 Sabbatical leave policies shall be considered independently of other grant and leave policies.
 2. The Committee may provide advice and consultation to the Chancellor, University of Alaska Anchorage or designee, in matters relating to the administration of Faculty Development Funds, Research and Travel Funds, and Sabbatical Leave including, but not limited to:
 - a. Development of time lines and procedures for awarding grants;
 - b. Review and assessment of applicants for university grants; and,
 - c. Fostering of faculty development and research opportunities for faculty members.
 3. The Committee shall present a report of its activities to the Faculty Senate at the regularly scheduled December and May meetings.
- W. Composition of the Institutional and Unit Assessment Committee:
1. The Senate shall select a minimum of three Senators for the Committee, with a maximum of two Senators from any unit as defined in Article III, section 3, subsections a -j, and section 4, of the Constitution.
 2. A Senator on the Committee shall convene the first meeting in each academic year.
3. Membership on the committee is open to any faculty member who submits his or her name to the Nominations and Elections Committee by April 20 or as vacancies permit.
 4. Newly elected and continuing members shall elect the Chair(s) no later than May 15, with service to begin June 1. If no Chair is an elected Senator, a Chair shall act as an ex-officio, voting member of the Senate at Faculty Senate meetings.
- X. Functions and Responsibilities of the Institutional and Unit Assessment Committee:
1. Annually advise the Senate's Executive Board by the end of September of the Committee's timeline and milestones for that academic year; thereafter, the Committee shall present an outline of its yearlong agenda and goals to the Faculty Senate no later than the Senate's regularly scheduled October meeting.
 2. Annually review the assessment instrument and modify as needed.
 3. Annually review with the University's deans and Provost the overall scope of the assessment instrument, the expected protocols for its administration, and the timeline noted in (1) above.
 4. Notify faculty prior to the assessment's administration; advance faculty participation in the assessment process.
 5. Confer with each dean to determine the reporting process most suitable for that dean's respective unit.
 6. Oversee the assessment's administration.
 7. Provide annually a summary report to the Senate addressing faculty participation rates, suggestions from the deans and Provost on needed improvements for subsequent assessments, faculty perceptions on how well the assessment instrument addressed faculty concerns, faculty views on the effectiveness of the overall assessment process in improving their respective college or school, a template summarizing survey results, etc.
- At the discretion of its dean, a unit may be subdivided, with the Committee's approval, into subunits provided such subunits, are sufficiently large to ensure the anonymity of respondents.

Section 4. (Article VI. Meetings)

- A. Faculty Senate meetings shall be open to attendance by all faculty members.
- B. The agenda of Faculty Senate meetings shall include, but shall not be limited to, reports from each Board and Committee and an agenda-setting discussion.

Section 5. (Article VIII. Parliamentary Authority)

- A. A roll call vote shall be ordered if requested by one-third of the members present.

Section 6. (Article X. Amendments)

- A. Amendments to the Bylaws may be proposed by any tenured or tenure track member of the faculty eligible to serve as a Senator.
- B. Copies of proposed amendments shall be sent to all members of the faculty.
- C. The President shall schedule a first reading and discussion of the proposed amendment at

the first meeting of the Faculty Senate following distribution of copies of the proposed amendment. The second reading of a proposed amendment may be held not sooner than the second regular meeting following the distribution of copies. Any tenured, tenure-track or term faculty member eligible to serve as a Senator may participate in floor discussions during the first and second readings.

- D. Following the second reading, the amendment shall be voted on by mail, by all faculty members eligible to serve as a Senator, as described in Article III, section 1, of this Constitution. Amendments shall be approved by a simple majority vote. The vote shall be considered invalid if fewer than 25% of the eligible voters respond. A Motion to Reconsider may be made only at the following meeting.

**FACULTY SENATE OFFICERS AND MEMBERS
2008 - 2009 ACADEMIC YEAR**

For a current list of Faculty Senate Officers, visit: www.uaa.alaska.edu/governance