

---

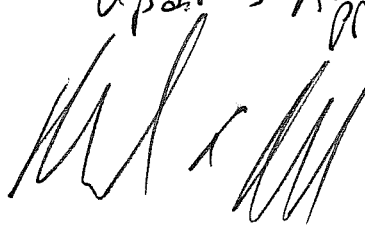
---

*COLLEGE OF ARTS AND SCIENCES*

*FACULTY EVALUATION PROCEDURES  
FOR RETENTION, PROMOTION, TENURE AND PERIODIC REVIEW*

---

---

Updates Approved 7/1/2009  


This document is to be used in conjunction with the University of Alaska Board of Regents' Policies and the University of Alaska Anchorage Policies. If there is a conflict between those policies and the College of Arts and Sciences Faculty Evaluation Procedures for Retention, Promotion, Tenure, and Periodic Review, the policies will prevail.

Approved by the Provost and Vice Chancellor for Academic Affairs, May 3, 1994.



---



---

***College of Arts and Sciences***

***Faculty Evaluation Procedures***

***For Retention, Promotion, Tenure and Periodic Review***

---



---

**Contents**

<b>1.0</b>	The Faculty Review Process in the College	1
<b>1.1</b>	Review Procedures	1
<b>1.2</b>	Ongoing Refinement of the Review Process	2
<b>2.0</b>	Peer Review Committees	2
<b>3.0</b>	Department Peer Review Committees	3
<b>4.0</b>	The Basis for Faculty Evaluation Decisions	4
<b>4.1</b>	Retention	4
<b>4.2</b>	Promotion	5
<b>4.3</b>	Periodic Reviews of Tenured Faculty	5
<b>4.4</b>	Tenure	5
<b>4.5</b>	Special Provision	5
<b>5.0</b>	Preparation of Files for the Review Process	5
<b>6.0</b>	Criteria for Promotion	8
<b>6.1</b>	Promotion to Assistant Professor	8
<b>6.2</b>	Promotion to Associate Professor	9
<b>6.3</b>	Promotion to Professor	9
<b>7.0</b>	Guidelines for Evaluating Teaching, Service, and Research/ Creative Activity	10
<b>7.1</b>	Discipline-Specific Review Criteria	10
<b>7.2</b>	The Review of Teaching Activities	10
<b>7.3</b>	The Review of Service Activities	11
<b>7.4</b>	The Review of Research/Creativity Activity	12

<b>8.0</b>	<b>Provisions for Changing the Evaluation Process</b>	<b>15</b>
<b>Appendix A.</b>	<b>Guidelines for Faculty Reviews Involving Works of Art</b>	<b>16</b>
<b>Appendix B.</b>	<b>Guidelines for Faculty Reviews Involving Works of Music</b>	<b>18</b>
<b>Appendix C.</b>	<b>Guidelines for Faculty Reviews Involving Activities in Theatre and Dance</b>	<b>20</b>
<b>Appendix D.</b>	<b>Guidelines for Faculty Reviews Involving Professional Work in Journalism and Public Communications</b>	<b>23</b>
<b>Appendix E.</b>	<b>Guidelines for Faculty Reviews Involving Activities in English</b>	<b>26</b>
<b>Appendix F.</b>	<b>Guidelines for Faculty Reviews Involving Activities in Chemistry, Geology, and Physics</b>	<b>28</b>
<b>Appendix G.</b>	<b>Guidelines for Faculty Reviews Involving Activities in Psychology</b>	<b>40</b>
<b>Appendix H.</b>	<b>Guidelines for Faculty Reviews Involving Activities in Biological Sciences</b>	<b>51</b>



---

**COLLEGE OF ARTS AND SCIENCES**  
**FACULTY EVALUATION PROCEDURES**  
**FOR RETENTION, PROMOTION, TENURE AND PERIODIC REVIEW**

---

This document presents evaluation procedures adopted by the College faculty for major personnel decisions. The procedures are applicable to faculty holding academic rank whose workloads require that at least half of their university efforts be directed toward teaching, service, and/or research/creative activity. This document is to be used in conjunction with the University of Alaska Board of Regents' Policies and the University of Alaska Anchorage Policies. If there is a conflict between those policies and the College of Arts and Sciences Faculty Evaluation Procedures for Retention, Promotion, Tenure, and Periodic Review, the policies will prevail.

### **1.0 FACULTY REVIEW PROCESS IN THE COLLEGE**

The evaluation process for retention, promotion, tenure and periodic review of faculty begins with an orientation meeting called by the Dean of the College to discuss the College's review procedures with department chairs and peer review committee members. The meeting will occur prior to the end of September. The purpose of the session is to consider topics relevant to the consistency, efficiency, and fairness of the review process.

Faculty who have served on review committees at all levels in the preceding year will be invited by the Dean to lead or participate in a training session which will be provided for current candidates.

Candidates at extended colleges are reviewed first by their Directors. An oral interview conducted by the director with the candidate occurs at this stage. The candidate's file then passes to the department chair for his or her review.

The first review of a candidate assigned to the Anchorage campus is by the department chair. An oral interview conducted by the chair with the candidate occurs at this stage.

A candidate standing for retention, periodic review, promotion or tenure will be reviewed by the Peer Review Committee, followed by the evaluation of the Dean of the College. Retention decisions and periodic review of tenured faculty go no further, but promotion and tenure files are also reviewed by the University-wide Faculty Evaluation Committee, the Vice Chancellor for Academic Affairs, and the Chancellor.

### **1.1 REVIEW PROCEDURES**

The review is restricted to (1) material in the candidate's file, (2) findings and recommendations by reviewers in this process, (3) and the candidate's written responses. If evidence of high relevance to the evaluation decision becomes available to a review during the review process, it will be considered only if the reviewing agency documents it in the candidate's file. The candidate will be notified and given an opportunity to make a written response, which will be added to the file.

Candidates may add relevant material to their files only at the time they make written responses as allowed by these procedures. The additional material must be documented in the written response.

Reviewers will respect the candidate's right to privacy by treating the contents of the evaluation file and the deliberations of Review Committees as privileged information to be held in confidence.

At each review stage a *"Findings and Recommendations"* form, as specified by the Office of Academic Affairs and supplied by the Dean's Office of the College, will be completed. The form will contain specific comments by the reviewer to support the conclusion reached in the evaluation. This narrative must comment on how the individual has performed relative to the appropriate criteria for retention, promotion, tenure or periodic review. The comments should be explicit and specifically indicate how the faculty member does or does not measure up to the relevant criteria and suggestions are to be given that will assist the faculty member in his or her future professional development whenever possible. Candidates may make a written response to the findings of each level of review. Such written responses may include documentation to support rebuttal. All such material will become part of the candidate's file.

If the review involves an exception to one of the criteria for retention, promotion, tenure or periodic review, the exception must be explicitly stated and the considerations justifying the exception clearly presented. The basis for the exception must be outstanding academic performance and/or professional experience.

Reviewers may elect to state their concurrence with the evaluation remarks of a preceding review stage, in which case no further narrative need be presented on the *"Findings and Recommendations"* form.

The faculty member will be given five working days to read and to respond to the *"Findings and Recommendations"* form at each stage in the review process. A written response to the evaluations may be submitted within this time period which will be placed in the file.

Responses are always directed to the next higher level of review.

## **1.2 Ongoing Refinement of the Review Process**

At the end of each annual review cycle, Peer Review Committees within the College will provide comments, in writing, to the Dean on ways to improve the consistency, efficiency and fairness of the evaluation process. Committees may prepare written comments on these matters for the benefit of future reviewers. The Dean will make these commentaries available to future reviewers.

If a recommendation for changing the process is approved by a majority of the Peer Review Committee members, it will be placed before the College as a proposed amendment to this document and forwarded for appropriate University level and administrative review.

Amendments to the College's review process require the support of two-thirds of College faculty responding to a written ballot.

## **2.0 PEER REVIEW COMMITTEES**

Current Departments will be identified with a *unit* for the purposes of constituting a Peer Review Committee. In consultation with the Dean, a department will choose one of the following options:

1. a qualified department may select to be its own unit. A department is qualified as described in 3.0.
2. if a department is not qualified or does not select to be its own unit, then it will be a member of a discipline cluster-unit as described in 3.1.

### **3.0 DEPARTMENT PEER REVIEW COMMITTEES**

A qualified department may select to be its own unit. A department is qualified if it has faculty sufficient to constitute a committee of at least five (5) tenured faculty at the same or higher rank as the unit members being reviewed, with at least three (3) at the rank of full professor. The Dean approves the committee membership.

With approval of the Dean and the Provost, a department may deselect this option in favor of a Discipline Cluster Peer Review Committee, so long as faculty under review are not unreasonably disadvantaged by changing the Peer Review structure repeatedly or under short notice.

In case of temporary contingencies, a Departmental Peer Review Committee may appoint, with Dean's approval, a qualified faculty member outside of the Department to the Committee.

### **3.1 Discipline Clusters For Peer Review**

For those units not qualified, or who do not select to be their own unit, then the peer review unit will be part of a discipline cluster. The discipline cluster-unit is to be determined by the Dean in consultation with the departments, and is to be composed of two or more related disciplines within clusters 1 through 4, as described below. Each discipline cluster is to have at least two (2) tenured faculty from departments whose members are being reviewed by the Peer Review Committee, where that is possible; it must have a total of at least five (5) tenured faculty at the same or higher rank as the unit member being reviewed, with at least three (3) at the rank of full professor.

#### Clusters 1 through 4:

##### *Fine and Performing Arts (1)*

- Art
- Music
- Theatre & Dance

##### *Humanities (2)*

- Communication
- English
- History
- Journalism & Public Communications
- Languages
- Philosophy

##### *Mathematics and Natural Sciences (3)*

- Biological Sciences
- Biomedical Program / WWAMI
- Chemistry

Physics and Astronomy  
Geology  
Mathematical Sciences, Computer Science & Statistics

*Social Sciences (4)*

Anthropology  
Geography and Environmental Studies  
Political Science  
Psychology  
Sociology

Once discipline clusters have been identified, Committee members for those clusters will be appointed by the Dean for three-year staggered terms.

It is possible that there may be too few eligible faculty available in a discipline cluster to fully staff a committee. Should this occur, the Dean will appoint faculty members from other discipline clusters.

### **3.2 Guidelines For Peer Review Committees**

Faculty may be declared ineligible for any of the following reasons: on any type of leave during the fall semester review; standing for promotion; serving on University-wide Appeals Committee or University-wide Faculty Evaluations Committee; serving as Chair of a Department. Committee members must recuse themselves from the evaluation of any immediate family member.

The chair of each committee is elected by the committee. The findings of the Committee should be stated as a recommendation. The committee chair will sign all reviews “for the committee.”

Only [full] Professors on a Peer Review Committee can evaluate candidates for promotion to [full] Professor.

All committee meetings will adhere to Regents' Policies 02.06 governing the conduct of open meetings.

Only the candidate and reviewers shall have access to information contained in the candidate's file. The candidate may request at any time that the review be conducted in executive session.

Bipartite and Tripartite faculty members will be represented on Peer Review Committees when the numbers of eligible faculty allow.

## **4.0 BASIS FOR FACULTY EVALUATION DECISIONS**

### **4.1 Retention**

For all ranks except instructors, reviewers recommend for or against retention based on the workload agreement and promotion criteria for advancement to the candidate's current rank. For the rank of instructor, the recommendation is based on workload agreements and whether the candidate demonstrates potential for success in each workload component. A recommendation for retention does not necessarily imply satisfactory progress toward promotion and tenure, but reviewers shall comment



specifically on these matters. All retention reviews will consider the faculty member's performance from the time of initial appointment or last promotion, whichever applies.

#### **4.2 Promotion**

Promotion recommendations for eligible faculty members will be based on criteria given in this document and approved criteria developed by the candidate's division or discipline and appended to this document. The review period is the time since initial appointment or the candidate's last promotion, whichever applies.

#### **4.3 Periodic Reviews of Tenured Faculty**

Reviewers will decide whether or not the candidate continues to meet promotion criteria for advancement to the candidate's current rank during the period since the candidate's last review. The Dean shall develop and publish a schedule for periodic reviews that distributes them evenly over a three-year cycle. To the extent possible, the proportion of those with bipartite and tripartite workloads reviewed each year shall reflect the distribution of these workloads in each discipline cluster.

#### **4.4 Tenure**

The primary purpose of tenure is to assure the academic community of an environment that will nurture academic freedom by providing employment security to faculty members and faculty continuity to the University. Tenure gives the full-time faculty member freedom to teach, to research, or engage in public service, but it does not release him or her from responsibility to maintain high standards of professional performance and conduct.

The awarding of tenure is a serious decision affecting both the individual faculty member and the University. Tenure is a privilege, not a right, and the standards demanded in achieving it are rigorous. "Adequate" or "competent" performance alone is not a sufficient basis for awarding tenure. Reviewers will consider not only the individual's continuing successful performance but also his or her contributions to the goals of the University as identified in its mission statement. The candidate must demonstrate past contributions and show potential for the future.

#### **4.5 Special Provision**

For purposes of review for tenure and promotion of former community college faculty members who were appointed to the University of Alaska Anchorage under terms of Board of Regents' Policy 04.11.01, the awarding of a continuing appointment shall be deemed evidence of a "successful" year of service for those years prior to July 1, 1987. Further, the lack of documentation for job performance during those years shall not be viewed negatively in the tenure and promotion process.

### **5.0 PREPARATION OF FILES FOR THE REVIEW PROCESS**

The faculty member's file is the focus of the review process and its careful preparation is critical to a successful review outcome. The purpose of the file is to present the faculty member's case for the personnel decision under consideration: retention, tenure, promotion or periodic review.

Assistance is available for faculty members preparing review files.

Should faculty members give their written permission to share previously prepared files with others, the Office of Academic Affairs will make the file(s) (to include bipartite and tripartite) available for inspection. Refer to Faculty Handbook, Chapter III 6,D.1. and 2. for specific information required for the file. The faculty member's department chair may also be able to recommend an experienced faculty member who is willing to serve as a mentor during the preparations of review materials.

The preparation of the file is a time-consuming task and the faculty member should plan on spending 40-100 hours creating the file. However, faculty members should resist the temptation to add bulk to the file; large files waste the time of all parties.

The College will provide each candidate with a checklist of file contents. It is the responsibility of the candidate to submit a complete file.

**File Contents:**

- Index -Strongly Recommended
- Vita – Current Vita Required
- Summary list of courses taught at UAA - Required since last review
- Official UAA Computer summary sheets for student course evaluations - Required
- Course syllabi - The most current version per course taught. Required
- Summary of Research/Creativity Activities - Required since last review
- Summary of Public Service Activities - Required since last review
- Summary of UAA Service Activities - Required since last review
- Summary of Professional Activities - Required since last review
- Summary of Professional Development - Required since last review
- Self- Review - Required
- Goals and Objectives - Required
- Annual Workload Agreements for the review period - Required
- Annual Activity Reports for the review period - Required
- Past reviews - Most recent past review required
- Supporting correspondence – Optional only for retention and periodic review; required for promotion/tenure review.
- Verification of appropriate degree - Required (a certified transcript, which can be moved from one version of the file to the next, is appropriate)

The file should be submitted in a binder that secures its contents. The different sections of the file should be organized with tab separators to allow reviewers to quickly find information. A copy of the complete file should be kept by the faculty member.

**Vita**

The vita is an especially critical document, providing information on the faculty member's education, professional development, creative accomplishments, and other areas of professional activity. Several examples of well-prepared vitae are available for inspection in the Dean's Office.

**Summary of Teaching Related Activities**

The computer summary sheets for courses taught during the review period. Include all the sheets that are available and see that they are organized sequentially. Some faculty members include student comments. However, their contribution to the review process is clouded by the fact that they were selected by the faculty member and negative student reactions may have been excluded. The reviewers

will focus their attention on questions 6, 9, 13, and 14 of the current computer summary sheets which relate to the overall ratings of the course and the instructor, to the rating of the instructor's knowledge of the subject, and to the student's rating of how much was learned.

### **Course Syllabi**

A course syllabus for each different course taught during the entire review period.

### **Summary of Research/Creative Activities**

An account of the research/creative activities accomplished during the review period. It is not necessary to include actual books, articles, paintings, etc., but these materials must be available to reviewers who wish to see them. The Dean's Office will serve as a repository for bulky items during the review.

### **Summary of Public Service Activities**

A list of those activities where the faculty member's professional expertise is the basis for public service.

### **Summary of Service to the University**

A list of university service.

### **Summary of Professional Activities**

Memberships in professional associations and any paid consulting activity.

### **Professional Development**

Courses taken during the review period, professional conferences attended, and other activities that contribute to professional development.

### **Self-Review**

The self-review is perhaps the most critical single document in the review file. In the self-review, the faculty member presents his or her case by relating the specific information in the file to the requirements for the personnel decision under consideration. This should include objectives for the current year.

When claiming significant activity outside of the department to which the faculty member is assigned, such activity must be endorsed with supporting documentation from the chair or director of that department or activity. Significant activity is defined as activity pursued regularly rather than occasionally. Reviewers are entitled to discount undocumented or unendorsed activity.

### **Goals and Objectives**

A concise presentation of the faculty member's plan for professional development during the next 3 to 5 year period.

### **Annual Workload Agreements**

Past workload agreements for the review period are presented in sequential order.

Clear explanations of workload anomalies should be included as they will help review committees understand the workload.

### **Annual Activity Reports**

Past activity reports for the review period.

### **Past Reviews**

Past reviews in sequential order.

### **Support Correspondence**

Tenure and promotion decisions require letters of recommendation which are placed in this section. At least two references must be supplied. Faculty with tripartite workloads applying for tenure or promotion to professor must include at least one reference outside the University of Alaska Anchorage. This should be an individual who is qualified to comment on the research/creative activity component of the candidate's workload. Faculty with bipartite workloads applying for tenure or promotion to professor must include at least one reference outside the University of Alaska Anchorage. This should be an individual who is qualified to comment on the service component of the candidate's workload.

### **Verification of Degrees**

Only one degree (the one most relevant to the faculty member's current position) needs verification. Either a letter from the awarding institution, a certified transcript, or verification that an official transcript is on file at the UAA Personnel Department is necessary to comply with Regents' policy on degree verification. A copy of a diploma is not sufficient.

## **6.0 CRITERIA FOR PROMOTION**

### **6.1 Promotion to Assistant Professor:**

Regents' Criteria For Promotion to Assistant Professor:

1. Appropriate degree: For tripartite workload faculty, a terminal degree in the discipline or appropriate field. For bipartite workload faculty, a Master's degree in the discipline or appropriate field
2. Evidence of potential for successful teaching and service.
3. If the applicant has a tripartite workload, potential for successful research/creative activity.

Application of the Criteria:

The key concept in the evaluation is "potential for success" where "success" is taken to mean "resulted in a positive outcome." The candidate must demonstrate through the promotion file that each

component of his or her workload meets this requirement. If so, the recommendation shall be to promote. If the recommendation is against promotion, the reviewers shall state objectively how the candidate fails to meet this requirement.

## **6.2 Promotion to Associate Professor**

### Regents' Criteria For Promotion to Associate Professor

1. Appropriate degree: For tripartite workload faculty, a terminal degree in the discipline or appropriate field. For bipartite workload faculty, a Master's degree in the discipline or appropriate field
2. Evidence of successful teaching and service
3. If the candidate has a tripartite workload, evidence of successful research/creative activity
4. Five years at the rank of Assistant Professor, of which three must be at UAA.

### Application of the Criteria:

The key term in the evaluation is "successful" which is taken to mean "resulted in a positive outcome." The candidate must demonstrate through the promotion file that each component of his or her workload meets this requirement. If so, the recommendation shall be to promote. If the recommendation is against promotion, the reviewers shall state objectively how the candidate fails to meet this requirement.

## **6.3 Promotion to Professor**

### Regents' Criteria For Promotion to Professor:

1. Appropriate degree: A terminal degree in the discipline or appropriate field (for bipartite workload faculty 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 the terms of the Board of Regents' Policy 04. 11.01, July 1, 1987)
2. Evidence of exemplary teaching and service
3. If the candidate has a tripartite workload, evidence of exemplary research/creative activity
4. Five years at the rank of Associate Professor, of which three must be at UAA.

### Application of the Criteria:

The key term in the evaluation is "exemplary" which is taken to mean "serving as a positive model for others." The candidate must demonstrate through the promotion file that each component of his or her workload meets this requirement. If so, the recommendation shall be to promote. If the recommendation is against promotion, the reviewers shall state objectively how the candidate fails to meet this requirement.

## **7.0 GUIDELINES FOR EVALUATING TEACHING, SERVICE, AND RESEARCH / CREATIVE ACTIVITY**

### **7.1 Discipline-Specific Review Criteria**

Teaching and service activities of the faculty in the College are generally similar across disciplines, and it is expected that the review of these workload components will be similar for almost all College faculty members. The research/creative activity and service components, however, vary significantly among the College disciplines.

Disciplines or discipline clusters within the College are encouraged to develop explicit statements governing the nature of appropriate research/creative activity and service, standards for judging quality, and expectations for faculty members at different ranks and with various workload assignments.

The nature of research/creative activity and the standards for determining its quality must combine the traditions and interests of specific disciplines with the more general concerns of the College as a whole. It is important that the research/creative activities for different disciplines be defined and evaluated in a manner that faculty members within and without the discipline perceive as generally fair and reasonable. Faculty members within the discipline should understand which activities are appropriate for meeting their workload obligations and advancing toward tenure and promotion, and they should know the general way in which the quality of these activities will be judged. Faculty members outside the discipline should generally view these standards as neither too lenient nor too harsh.

Specialized criteria may also be necessary to judge the teaching and service activities of some disciplines within the College. If a discipline finds the guidelines presented in Section 7.2 inappropriate, specific alternative guidelines may be proposed for use in the reviews of faculty in that discipline.

When proposed new evaluation standards have been adopted by a discipline, they will be formally reviewed through the College's Peer Review Committees described in Section 1.2. If a majority of the committee members present support the proposed standards, they will be sent to the Dean for review. If approved, the standards will be forwarded to the University-wide Faculty Evaluation Committee and Vice Chancellor for Academic Affairs. When the approval process is successfully completed, the discipline-specific guidelines will be added to the appendices of this document and will guide the review process in applicable cases.

### **7.2 The Review of Teaching Activities**

#### Examples of teaching activities:

- Classroom teaching. This includes campus and off- campus courses for which University credit is given and the number of student contact hours is defined
- Individualized instruction. Examples are independent and directed studies
- Non-credit courses offered through the University which are part of the normal workload
- Training or other seminars which are part of the normal workload

- Program and curriculum development
- Course development and revision
- Training or other seminars, including short courses and guest lectures
- Supervision of interns.

Evidence of teaching effectiveness:

The faculty member's self-review should show how the evidence in the file demonstrates teaching effectiveness at a level appropriate for the relevant personnel decision: retention, tenure, promotion or periodic review. The evidence may come from a variety of sources. The file must include course syllabi and previous student evaluations of the faculty member's courses taught during the period covered by the review to the extent to which they are available. (However, former community college faculty members need not include student evaluations prior to July 1, 1987.) In addition, the file may contain other evidence of teaching effectiveness. Some examples are:

- description of an innovative technique or teaching method of special merit
- evaluation of teaching by colleagues
- curriculum development and program planning activities
- description of new preparations
- description of major course revisions
- awards or recognitions received by past students
- evidence demonstrating the creation of student interest and involvement
- non-UAA course evaluation procedures carried out by the faculty member
- other evidence deemed to be relevant to teaching.

### **7.3 The Review of Service Activities**

Each faculty member is expected to engage in service activities; it is a contractual obligation that will be examined with the same level of scrutiny and interest as teaching and creative activities.

Examples of service activities:

University service is critical to a developing institution. It is assumed that the level of university service will vary among faculty but each member will make at least a minimum contribution in this area and should work with his or her supervisor in defining the level and mix of service.

Service to the University may include the following:

- Student advising
- Such supportive activities as committee membership and committee chairperson at the departmental and College level
- Work on University-level committees such as those created by the Senate, Assembly or Chancellor.

Professional activity and consulting service is composed of compensated professional activity or consulting by a faculty member which falls within the guidelines and standards of the University of Alaska Anchorage. Consulting service should be listed separately from professional community service as described below

Service to one's profession relates to leadership or contributions in organized activities of the faculty member's discipline. This includes membership, leadership, participation in professional societies, associations, conferences and meetings.

Service to the community is by definition service which is not compensated except as part of normal University compensation. It is composed of two types:

Professional community service is a contribution made by a faculty member which requires competence and skill in his or her profession. General areas of professional service include: technical assistance, evaluation, non-research consulting, public exhibition, professional advice and support to the public, organizational leadership due specifically to one's professional skills and background, and other activities which demonstrate the professional skills and competence of the faculty member.

General community service is a faculty member's general community activities which demonstrate a personal commitment to the community. This may include activity or leadership in organized or ad hoc community service.

#### Evidence of Service Activity

Faculty members are expected to report their service activities by presenting information about the time, effort and accomplishments associated with each. The faculty member's self-review should relate service activity to the requirements for the personnel decision under consideration.

### **7.4 The Review of Research/Creative Activity**

Faculty members with tripartite workloads are expected to productively engage in research/creative activity. Discipline-specific evaluation criteria will guide the review process whenever available. In the absence of such criteria, the most appropriate of the two models presented below will be used to structure the review of research/creative activity.

#### **Model 1: Research/Creative Activities Which Lead to Publication**

##### Examples:

**Basic research.** Methodical study and activities carried out with the primary intent and immediate consequence of augmenting and developing knowledge in any field. The results of basic research will contribute to theory and understanding, to the revision of knowledge and its accumulation and, out of



all this, in turn may flow various procedures, formulae for action, devices, instruments and other outcomes.

**Applied research.** Methodical study and activities which augment and develop knowledge, but are carried on with the primary intent or immediate consequence of practical application. Research activities directed toward the improvement of instruction are an example of applied research.

**Development.** Methodical activities and study which augment and develop knowledge, and the systematic use of knowledge carried on with the primary intent and/or immediate consequence of designing and producing useful prototypes, materials, devices, systems, methods or processes. The routine reapplication of procedures and formulae already worked out, the repetition of tests, the reproduction of existing designs and products, and the like, are all excluded from consideration as creative activities.

#### Evidence of Research/Creative Activity for Model 1:

Faculty members will include in their activity report information summarizing their research activities and their research productivity over the review period. The faculty member's self-review should relate evidence of research or creative activity in the file to the requirements for retention, tenure, promotion or periodic review.

Research activities not presently represented in publications, presentations or papers should be summarized. This may include research products completed but not reported, research products in progress, research proposals in preparation, or reviews of research proposals for funding agencies.

Research products should also be presented. There exists a continuum of research products ranging from papers presented at local meetings to the publication of a major book. All types of research productivity are to be valued but some types will receive greater recognition than others. Listed below are examples of research productivity. The order in which they are listed is a general reflection of how they might be weighed in some disciplines, assuming that the various examples are of appropriate quality. Some products may vary greatly in the weight they receive depending on their scope. The quality of research products will be given careful consideration and may result in a particular research product receiving more or less recognition than indicated by the following list. Reviewers are to avoid a mechanical application of the list below as a necessary or inflexible hierarchy of value.

- Book (authored or edited)
- Refereed Monographs
- Funded Research Proposals
- Refereed Journal Articles
- Articles in Edited Books
- Refereed Proceedings
- Laboratory Manuals and Instructional Materials
- Non-Refereed Monographs
- Non-Refereed Journal Articles
- Reviews of Articles for Publication or Conference Presentation
- Reviews of computer Software or Hardware
- Non-Refereed Proceedings
- Cases Published
- Research Reports
- Paper Presented at a Professional Meeting

Annotated Bibliography  
Translations, Collections, Bulletins, Synopses  
Abstracts, Books of Readings, Manuals  
Journal Comments and Notes  
Newspaper Editorials, Articles

**Model 2: Creative Activities which lead to interpretive Performances or presentations of artistic works or the creation and exhibition of new works of art in such disciplines as Art, Dance, Theatre, Music or Creative Writing.**

Examples:

Production of an artistic work. In Theatre, this activity is undertaken by a faculty member specializing in directing, acting, scenic, lighting or costume design. In Music, this work is undertaken by conductors, instrumentalists, and vocalists. In Dance, this is the province of the choreographer.

Creation of new artistic works. This may involve the writing of an original play or adaptation, composition of a piece of music, or the creation of a work in the visual arts.

Evidence of Creative Activity for Model 2:

Faculty members will include in their activity report information summarizing their creative activities and their creative productivity over the review period. The faculty member's self-review should relate instances of creative activity and their quality to the requirements for retention, tenure, promotion or periodic review.

Creative activities not presently represented by way of recorded performance data (reviews, juror's comments, the actual finished works, etc.) should be summarized. This may include productions or concerts currently in rehearsal but not yet in performance, works in progress, proposals in press or reviews of proposals for funding agencies.

Creative products should also be presented. There is an extremely diverse range of creative products in the arts. Below are examples of activities and products which constitute valid creative activity. The quality of creative products will be given careful consideration and may result in a particular creative activity receiving more or less recognition than other works.

Creative Products Involving the Production of Artistic Works:

- Production of a play
- A concert
- Creative work presented through slides or photographs
- Directorial concepts
- Lighting, set, costume design
- Technical plots
- Prompt scripts
- Production photographs
- Costume renderings with swatches
- Scenographic models or ground plans/elevations
- Plots, working drawing, revisions
- Actor's journal
- Recordings

Creative Products Involving the Creation of New Works:

A sculpture, painting, print, photograph

A musical composition

An original play, film, screenplay or adaptation

Poetry, short stories, novels, etc. in Creative Writing

## **8.0 PROVISIONS FOR CHANGING THE EVALUATION PROCEDURES**

Following each faculty review cycle, the Dean will establish a College-wide committee by requesting nominations from each peer review committee. The committee will review the procedures presented in this document and make recommendations for improvement to the College faculty. Any amendment requires endorsement by two-thirds of College faculty who vote in a mail ballot.

Three other mechanisms are available for modifying specific details of the process. Section 1.2 contains a provision for the annual examination of the evaluation process that may lead to changes. Section 2 gives procedures for changing the way that disciplines are clustered for peer review, and Section 6 explains how special review criteria may be established to guide the evaluation of a specific subgroup of College faculty.

## **APPENDIX A**

### **GUIDELINES FOR FACULTY REVIEWS INVOLVING WORKS OF ART**

Creative/professional/scholarly activity of many types is conducted by Art faculty. It is understood that some creative/professional/scholarly activity may be extremely arduous and time-consuming. Partially because of this it is not possible to specify an exact number of publications, exhibitions, etc., which are required for retention, tenure and promotion. However, active and continuous creative work should be demonstrated, keeping in mind both quality and quantity, as well as the complexity of the creative endeavor.

The pursuit of research to advance the discipline/field is a reasonable expectation of teaching artists and art historians on tripartite workloads. The affirmation gained from sharing research and its results is essential. Colleagues should willingly subject their work to the judgment of their peers in the wider, extra-university profession, especially through presentations, exhibitions, and publications. Engagement in the wider profession through participation in the appropriate professional organizations is a reasonable effort of professional development and is worthy of consideration in evaluation.

Because of the diversity of the field of art, the possibility exists that creative research will not fall within the range of the suggested criteria. It is the candidate's responsibility to identify the unique circumstances of his or her research and the complexities of their particular creative inquiry.

Following is a condensation of statements from each program area with a list of creative/professional/scholarly activities recognized by the Department of Art. It is to be understood that faculty are not restricted to the activities outlined nor are they expected to show performance in each of the categories.

#### **A. Creative Work**

1. Evidence of creative work through slides or photographs
2. Summary of creative activity and supportive data
3. Grants applied for and/or received, progress reports
4. List of all work and projects submitted for exhibition or performance
5. Works included in public art collections and commissioned art
6. Prizes and other awards for significant professional accomplishment.

#### **B. Exhibitions**

1. Creative activity with international or national visibility
2. Creative activity with regional visibility
3. Works included in recognized institutions or collections
4. Awards, grants, honors, public or other recognitions
5. Evidence through slides, photographs or writing of art works in progress, and explorations of new materials, processes and techniques
6. Creative activity with local visibility
7. Publications in trade or popular journals

#### **C. Professional Activities**

1. Activity in support of exhibitions (receive grants, organize and jury shows)

2. Activity in support of scholarship (editorship, referee for a scholarly journal, manuscript review for editor)
3. Consultantship (paid or unpaid) and commissions or professional free-lance work
4. Invitational participation as guest lecturer, seminar or workshop leader
5. Offices held in professional societies
6. Measure to improve professional competency (membership in professional organizations, attendance at seminars, workshops, meetings, exhibitions, future course work)
7. Reports of tangible accomplishments as a result of professional travel or development leave. In each case the list of evidence follows the chronology of a creative production process beginning with ideas, research and conceptual developments through planning, preparation, presentation and review.

## **APPENDIX B**

### **GUIDELINES FOR FACULTY REVIEWS INVOLVING WORKS OF MUSIC**

#### **Activities Which Should Be Reported**

Persons holding academic rank in artistic disciplines are expected to productively engage in creative activities which lead to performances. Faculty members will include in their reports of productivity activities reflecting their professional contribution.

Creative activities which are not presently reflected in public performances, exhibitions or publications, such as:

- Creative activities prepared but not yet presented
- Creative activities in progress
- Creative activities in preparation

#### **Music Performances**

Creative activities in Music may take two basic forms: the composition of a piece of music to be performed by others and the public performance by the faculty member of an interpretation of others' music. Below are lists of examples in these two areas. The order in which they are listed reflects a general consensus of opinion of relative weight each activity might be given in the evaluation process. It is impossible to rigidly specify levels of productivity in artistic disciplines. All review stages are to avoid a mechanical application of these lists as the sole criterion of productivity.

#### **Creative of New Works of Music**

One means of ranking types of creative work is to note support of the work as reflected by commissions or grants. This does not mean that a noncommissioned, non-funded work for solo instrument may not have more artistic significance than a commissioned work for a symphony orchestra, but in general, financial support of the project reflects a recognition of and confidence in the creative activity of the faculty member.

- Work for a large ensemble
- Work for a small ensemble
- Solo work

A major factor to be considered in ranking compositions is their length. A twenty-minute piece for piano involves considerably more creative effort than does a four-minute march for a band.

#### **Public Performances**

Factors which may be used in ranking performances include any financial support of the performance, either by box office receipts or by funding agencies, any sponsorship of the performance and the scope and type of audience which the performance attracted. This does not mean that a paid solo recital attended with a major symphony is artistically more important than a solo recital attended by a select and knowledgeable audience. In general, however, financial support and audience attendance reflect a public recognition of the performing artist.

- Solo performance with a major ensemble such as a performance of a concerto with a symphony orchestra or a leading role in an opera or oratorio
- Solo Recital
- Direction of a major ensemble such as an orchestra, band, or choir
- Performance as a member of a small ensemble such as a quartet. (This should reflect a major artistic involvement by the faculty member, routine performance as a member of a choir or an orchestra is best considered as a type of service).

#### Preparing the Activity Report, Creative Activity Section:

Creative activities should be described in one or, at most, two pages. The faculty member will list the creative activities for the period under review. For each activity, the following items should be included:

- Description of the activity
- Description of the actual or potential audience
- Further recognition of the creative activity.

Faculty members should also report, as recognition for their status as creative artists, various types of public performances which are the product of earlier work. Examples include performances of previously composed works and broadcasts of recordings of previous performances. While these activities generally involve no effort on the faculty member's part, they do show a type of public recognition of the artist's work.

#### Reviewing Creative Activity:

Objective review of creative effort is frequently difficult to accomplish because of the subjective nature of responses to works of art. Reviewers should examine as wide a range of acts and opinions as possible. Some of these factors which may be considered are listed below:

- The relationship of the work to the faculty member's academic discipline
- The intent and scope of the work and the nature of the projected audience
- Critical responses to the work. A general ranking of the value to be placed on various critical responses follows:
  - Judgments of recognized experts
  - Judgments and opinions of peers
  - Published reviews of the work
  - Other types of public notice

#### Overlapping of Creative Activities:

Many artistic activities which faculty members engage in may overlap the three categories of teaching, service and creative activity. For example, part of a teaching load may be the direction of an ensemble which presents public performances. Such an activity includes elements of teaching, service and creative activity. Both the faculty member and all the reviewers must be sensitive to this fact and attempt to make a fair and equitable division of effort between the categories. In the example cited, both the service and creative aspects of the performance would be secondary to teaching. If such an activity is listed by the faculty member as a creative activity, it should not be the sole type of creative work performed by the faculty member.

## **APPENDIX C**

### **GUIDELINES FOR EVALUATING CREATIVE ACTIVITIES IN THEATRE AND DANCE**

#### **Productions**

The primary purpose of creative activity in Theatre is production of works for the UAA stage. When a production is entered in the American College Theatre Festival, the outside juror from the American College of Theatre Festival will evaluate the production. If not entered in the American College Theatre Festival, a production may still be juried; the department will maintain a list of qualified theatre professionals in the community who are not affiliated with UAA Theatre. These people will be asked to submit written evaluations of a production's merits.

Because the number of productions each year is vast, no juror system would be logistically possible for every production. The Department Chair may wish to select one show a year for complete jury review in order to more fully document the work of a director, actor or designer.

Because the committee should look at a “fair sample” of the faculty member’s work, the faculty member should have the right to determine which productions are to be offered for review; that decision may be made before or after the production.

The faculty member should have the right to select the work to be evaluated by outside expert jurors and the right of reasonable refusal of names on the potential juror list.

#### **Considerations:**

Evaluators are urged to consider all of these factors:

- Creative activity in Theatre often involves heavy risk; not every production can or should be a box office hit
- Critics may dislike a certain style of play which the department feels is important to explore
- Musicals are extremely difficult. Shakespeare presents great challenges in staging and language. Period plays are generally more difficult than contemporary realism. Evaluators should not automatically assume, however, that a contemporary play was somehow “easy” in comparison to classic works.

#### Additional Sources for Documenting the Value of a Production:

The quality of learning for a student and the overall artistic merit of a production may be documented by exploring, when appropriate:

- Evaluation by faculty peers
- Student comments
- Alumni comments
- Financial support of the performance by box office support or, in very rare occasions, funding by agencies
- The type and scope of audience the work attracted
- Acting or technical award nominations for students as determined by the ACTF judges. This includes nominations for the prestigious Irene Ryan awards
- Selection of the show for participation in the regional or national festival.



## **Composition of New Works for the Stage, Screen or Television**

Below is a list of examples of the type of work typical in this area. The descending order in which they are listed reflects a general consensus of opinion on the relative weight each activity might be given in the evaluation process, although qualitative aspects are always more important than any arbitrary ranking can indicate.

- Original plays or screenplays. Lyrics/libretto for a musical
- Original one act plays
- Full length children's theatre
- Adaptation of classic works for short production / interpreter's theatre
- Distillations / compilations of classic works (i.e., half-hour script distillation of *Oedipus the King*; compilation of several Greek plays into a new script entitled *Clytemnestra*)
- Synthetic scripts based on a theme utilizing many forms of literature (i.e., war theme with plays by Shakespeare and Shaw, with poetry by Dante and e.e. cummings)
- Adaptations of novels into dramatic form.

### **Considerations:**

Consideration should be given to the length of the play, the nature of the audience for whom the work is intended, the innovative nature of the script, the nature of the language and the likelihood that the work will endure.

### Evaluation of Creative Activity: New Works:

Since no recognized jury equivalent to those used by professional journals exists to evaluate artistic achievement, the department will maintain a list of qualified theatre professionals in the community who are not affiliated with UAA Theatre. These people will be asked to submit written evaluations of a play's merits. In addition to these qualified reports, a rating sheet will be used by the jurors.

The jurors will be chosen by the department and subject to the approval of the Dean of the College of Arts and Sciences.

Evidence of the work's merits may be gleaned from the following:

- The finished script itself
- Requests from professional theatres for possible production consideration
- Contest awards
- Reviews of the work from qualified critics
- Director's comments from a staged reading of the work
- Actual publication of the play (Committees are urged to note that this is extremely rare without a New York or professional regional theatre production of the play)
- Production history (i.e., record of staged readings, productions)
- Departmental jury review
- Theatre faculty peer review
- Box office appeal of the script as documented attendance

### **Documenting Off-campus Professional Productivity:**

A teacher/artist may document the quality of off-campus productivity in a variety of ways, including

- Demonstrating a record of continuous activity in the profession through appointed or elected leadership positions in professional organization
- Demonstrating recognition through such achievements as invited presentations, lectures or performances
- Demonstrating peer approval of skill mastery in such things as make-up, stage combat, voice and dialects, etc., through invitations to teach master classes or lead intensive workshops at regional and national conferences.

# **CAS APPENDIX D:**

## **GUIDELINES FOR FACULTY REVIEWS INVOLVING PROFESSIONAL ACHIEVEMENT**

AS

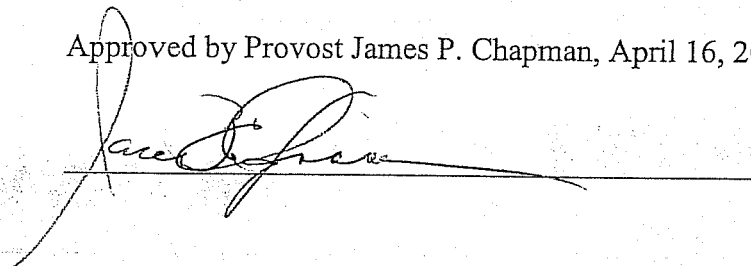
**RESEARCH/CREATIVE ACTIVITY**

IN

## **JOURNALISM AND PUBLIC COMMUNICATIONS**

This document is to be used in conjunction with the University of Alaska Board of Regents' Policies, the University of Alaska Anchorage Policies, and the College of Arts and Sciences Criteria and guidelines for promotion and tenure. If there is a conflict between the policies and the Guidelines for Faculty Reviews Involving Professional Achievement as Research/Creative Activity, the policies will prevail.

Approved by Provost James P. Chapman, April 16, 2004.

A handwritten signature in dark ink, appearing to read "James P. Chapman", is written over a horizontal line.

## **APPENDIX D: GUIDELINES FOR FACULTY REVIEWS AND RANK AND TENURE INVOLVING PROFESSIONAL ACHIEVEMENT AS RESEARCH/CREATIVE ACTIVITY IN JOURNALISM AND PUBLIC COMMUNICATIONS**

The Department of Journalism and Public Communications at the University of Alaska Anchorage is nationally accredited by the Accrediting Council of Educators in Journalism and Mass Communications (ACEJMC).<sup>1</sup> Its faculty emphasize the teaching of professional skills (see the Appointment Criteria for Faculty of the Department of Journalism and Public Communications).<sup>2</sup>

As such, professional achievement of the faculty in their specific communication areas (journalism, strategic communications, telecommunications and film, computer graphics and design) is essential for the proper education of students, the growth of the program, and its acceptance by various constituencies.

Because of this professional nature of the program, evidence of faculty achievement includes, but is expanded beyond, the traditional research/creative activity criteria. This guideline for faculty reviews and rank and tenure in the Department of Journalism and Public Communications draws from two traditions from which the department seeks a balance within its faculty as a whole:

- Area I. Research/Creative Activity and
- Area II. Professional achievement.

---

<sup>1</sup> These guidelines have been reviewed by Dr. Beth Barnes and members of the 2002 Accrediting Council of Educators in Journalism and Mass Communications (ACEJMC) site visit term. These "... professional oriented standards for tenure and promotion" which give "... specific recognition and encouragement to professional liaison and scholarship" were cited in the Department's 2002 ACEJMC re-accreditation report as consistent with ACEJMC accrediting principles.

<sup>2</sup> "Promotion and tenure guidelines of the Medill School of Journalism at Northwestern University as amended April 30, 1987;" "Procedures on Appointment, Tenure and Promotion of the College of Journalism," University of Maryland; "Promotion and Tenure Policies of the College of Journalism," University of Nebraska, Lincoln; "Promotion and Tenure Procedure and Policy," Journalism Department Ball State University; "Statement on Tenure and Promotion for Programs in Journalism and Mass Communication," ACEJMC Committee on News-Editorial Education in 1985.

*Individual faculty members may demonstrate achievement through accomplishments in either or both of these areas.* As appropriately applicable, these policies will be applied to tripartite and bipartite faculty.

### **Criteria for Area I – Research/Creative Activity**

Scholarship/Research/Creative Activity is to be evaluated according to CAS Faculty Evaluations Procedures, P. 11, Section 7.4.

### **Criteria for Area II – Professional Achievement**

Professional achievement is particularly important to JPC faculty appointments because of the dynamic and evolving nature of the field. It includes but is not limited to professional activities such as substantive articles appearing in other than scholarly journals, or creative and artistic accomplishments in visual or aural communication. It can be recognized by:

1. Publication in journalism and mass communication reviews and other publications of analyses and critical reviews on professional topics.
2. Publication of articles, reviews and commentaries on professional topics in national newspapers, magazines, trade journals, and broadcast media as they demonstrate high standards of professionalism.
3. Presentations on professional topics at national and international symposia and conferences that demonstrate high standards of professionalism.
4. Production creativity in advertising and/or public relations materials consistent with national and international standards that demonstrate high standards of professionalism.
5. Production of audio, video, and film consistent with national and international standards that demonstrate high standards of professionalism.
6. Production of multimedia graphics, photojournalism, photography, or electronic communication, including computer-based communications, consistent with national and international standards that demonstrate high standards of professionalism.
7. Demonstrating a record of continuous activity in the profession through appointed or elected leadership positions in professional organizations.

Acceptable support for the above professional achievement criteria includes:

- \* Prizes and other awards for significant professional accomplishment.
- \* Recognition for leadership in professional organizations of national stature.
- \* Outside letters from impartial judges.

\* Extent and degree of distribution of produced materials.

Faculty members may demonstrate their accomplishments by research, professional achievement, or a mix thereof.<sup>3</sup>

---

<sup>3</sup>These regulations have been reviewed by two outside reviewers:

Dr. Don Schultz, Professor Graduate Advertising Division, Northwestern University and chairman of the Accrediting Council for Education in Journalism and Mass Communications. In addition to his leadership on the Accrediting Council, Dr. Schultz has served on the Northwestern University committee, which revised the promotion tenure policies for the Medill School of Journalism. These policies are used as guidelines by numerous schools in the United States.

Neale Copple, Dean Emeritus of the College of Journalism, University of Nebraska-Lincoln. Dean Copple provided the leadership for the writing of the College of Journalism guidelines and served on the five-person committee that took two-years to draw up the campus guidelines.

## APPOINTMENT CRITERIA FOR FACULTY OF JOURNALISM AND PUBLIC COMMUNICATIONS

The terminal degree in the Department of Journalism and Public Communications is the Doctor of Philosophy (Ph.D.).

The master's degree will be accepted exceptionally in lieu of the terminal degree when the instructor has *seven years or more of professional experience* that closely parallels what is done in the classroom and includes substantial accomplishments.<sup>1</sup>

It is the intention of these appointment criteria to give considerable weight to professional credentials for faculty members whose principal teaching responsibilities are in a professional area. For these faculty, substantial accomplishments include:

- Holding of significant professional media positions such as news director, senior editor, senior producer/director, senior reporter, senior manager, or creative director.
- National distribution of materials authored.
- National awards for professional media work.

These exceptions to appointment criteria for the Ph.D. as a terminal degree recognize that the department's curriculum prepares students for professional careers. The curriculum, the degree requirements and the exceptions apply exclusively to the Department of Journalism and Public Communications and its expression in its six curricular areas of (1) Journalism, (2) Public Relations and Advertising, (3) Telecommunications and Film, (4) Graphic Design, (5) Photography, and (6) a combination of the preceding areas. These exceptions are consistent with the principles of the Accrediting Council of Educators in Journalism and Mass Communication (ACEJMC) for instruction and faculty research.<sup>2</sup>

---

<sup>1</sup> These appointment criteria are adapted from the "Promotion and Tenure Guidelines of the Medill School of Journalism at Northwestern University;" "Procedures on Appointment, Tenure and Promotion of the College of Journalism," University of Maryland; "Promotion and Tenure Policies of the College of Journalism," University of Nebraska, Lincoln; "Promotions and Tenure Procedure and Policy," Journalism Department, Ball State University; "Statement on Tenure and Promotion for Programs in Journalism and Mass Communications," ACEJMC Committee on News-Editorial Education in 1985.

<sup>2</sup> These appointment criteria are consistent with ACEJMC principles for accreditation. They were reviewed by the 2002 ACEJMC site visit team. In addition, these appointment criteria were reviewed in 1995 by Dr. Don Schultz, Professor Graduate Advertising Division, Northwestern University and former chairman of the Accrediting Council for Education in Journalism and Public Communications, and Neale Copple, Dean Emeritus of the College of Journalism, University of Nebraska Lincoln. These policies are used as guidelines by numerous accredited Schools of Journalism and Mass Communications in the United States.

## APPENDIX E

### GUIDELINES FOR TRIPARTITE FACULTY REVIEWS IN ENGLISH: CREATIVE, SCHOLARLY AND PROFESSIONAL ACTIVITIES

English faculty members on tri-partite contracts conduct creative, scholarly, and professional activities of many types. For example, English faculty may do collaborative as well as individual work and may do research and publication on the teaching and public significance of their field as well as on narrowly literary or rhetorical topics. As these activities vary so widely, it is misleading to quantify them rigidly. However, active and continuous creative, scholarly, and professional work should be demonstrated by each tripartite faculty member, keeping in mind the great diversity of forms taken by this work and the substantial amounts of time required to bring most of them to completion. The following list is not exhaustive; individual faculty should identify the status of these and other, unlisted activities in the materials they present for evaluation in tenure and promotion files. All faculty members, in particular those who contribute in non-traditional ways, including those involving electronic and on-line media, should give grounds for inclusion—and criteria for weighing—these contributions in their self-reviews. Each list is organized roughly in terms of the length and complexity of the product, but size is not necessarily to be equated with value. Individual faculty careers are unique, and there is of course no expectation that all faculty members will be active in all of the following categories.

#### A. Creative Work

Note: English faculty are primarily trained in the *evaluation* of creative work rather than its production, but this is an indeterminate border. Faculty may also produce creative work.

1. Documented authorship of plays, poems, short stories, novels, and non-fiction books and essays
2. Documented on-going but incomplete creative writing projects
3. Documented publication and/or production of creative works
4. Documented recognition for creative work
5. Documented participation in public creative performances

#### B. Scholarly work

1. Production and publication of peer-reviewed scholarly content on subjects within the faculty member's disciplinary specialty

- a. books
- b. essays in professional journals, print or online
- c. essays in edited collections
- d. entries in reference works

2. Editing books

3. Editing journals

4. Publication on professional issues for a general audience

- a. books from commercial publishers
- b. articles or interviews in newspapers or magazines
- c. interviews or op-ed pieces on radio or television



5. Publication in rigorous and well-respected new media formats
6. Oral Presentations
  - a. conference papers in the faculty member's disciplinary specialty at scholarly gatherings
  - b. Responding to professional invitations to deliver lectures and workshops
7. Reviewing materials in the faculty member's area of expertise
8. Conducting primary research such as oral interviews in an exploratory field

C. Professional activity

1. Organizing conferences, colloquia, and workshops
2. Managing professional/organizational webspaces
3. Evaluating manuscripts for publishers or journals
4. Serving as a panel chair at a professional conference
5. Serving as an officer of a professional society
6. Maintaining active membership in a professional society
7. Contributing to technical projects

**Approved by Provost Michael Driscoll, April, 2007**

## **Appendix F**

# **Guidelines for Faculty Review in Chemistry, Geology and Physics/Astronomy**

**University of Alaska Anchorage**

**January 15, 2009**

## **Table of Contents**

I.	Introduction.....	3
II.	Definitions.....	3
III.	General Guidelines for Faculty Evaluation.....	4
	(a). General Guidelines-Evaluation of Teaching.....	4
	(b). General Guidelines-Evaluation of Service.....	5
	(c). General Guidelines-Evaluation of Research/Scholarly Activity.....	6
IV.	Departmental Specific Guidelines-Evaluation of Research/Scholarly Activity.....	7
	(a). Chemistry .....	7
	(b). Geological Sciences .....	9
	(c). Physics and Astronomy .....	11

## **I. Introduction**

The departments of **Chemistry, Geological Sciences, and Physics and Astronomy** within the Division of Mathematics and Natural Sciences in the College of Arts and Sciences (CAS) at the University of Alaska Anchorage (UAA) have adopted the following guidelines and definitions for evaluating faculty. The information within this document is designed to be used by faculty preparing for retention/tenure/promotion review and by those responsible for assessing review files. Anyone using these guidelines must utilize the material appropriate to the specific discipline.

The definitions and general guidelines (given in Sections II and III respectively) apply to all faculty Chemistry, Geological Sciences and Physics and Astronomy. Discipline specific guidelines are provided in Section IV for each of these three departments.

## **II. Definitions**

### **Workloads:**

In the specific guidelines which follow, it is presumed that the typical faculty appointment is 'tripartite' or **3:1:1**, i.e., 60% teaching, 20% research, and 20% service. Exceptions to this standard workload may exist within each department. If so, they will be specified where appropriate. The following options to the standard workload may be used:

**2:2:1** appointment (40% teaching: 40% research: 20% service),

**1:3:1** appointment (20% teaching: 60% research: 20% service).

### **Annual Retention Review prior to Tenure and Promotion to Associate Professor**

All untenured faculty are reviewed for retention annually prior to tenure and promotion to Associate Professor. These annual retention reviews will be carried out by:

- a) Department Chair, at the request of the Dean of CAS,
- b) CAS Dean or his/her designee.

### **4<sup>th</sup> Year Comprehensive Retention Review**

During the 4<sup>th</sup> year retention review the faculty member will receive a comprehensive and diagnostic review by the:

- a) Department Chair, at the request of the Dean of CAS,
- b) CAS Divisional Peer Review Committee,
- c) CAS Dean,
- d) University-Wide Peer-Review Committee,
- e) Provost,
- f) Chancellor, at the request of the faculty member,

in accordance with Article 9.2.5 of the United Academic Collective Bargaining Agreement (UA\_CBA).

### **Mandatory Year to Apply for Tenure and Promotion to Associate Professor**

According to Article 9 of the UA\_CBA a tenure-track faculty member may be evaluated for tenure in any year of service, but must be evaluated for tenure by the beginning of the mandatory year at UAA. The current mandatory year for an Assistant Professor to be evaluated for promotion and tenure is the beginning of the seventh year of service at UAA. If the faculty member applies for promotion and tenure prior to the mandatory year, he/she shall be evaluated on the basis of the performance expectations that would exist at the time of the mandatory tenure review (see specifically Article 9.3.4 of the UA\_CBA). External reviews should be sought at this stage following UA\_CBA 9.2.5.b.1.

### **Refereed Publications:**

Prior to publication, refereed manuscripts undergo a process of detailed anonymous review by experts in the field of study. The result of the review may be suggested minor, moderate, or major changes, a recommendation for immediate publication, or a recommendation against publication in the journal, volume, or book to which the manuscripts were submitted.

### **Non-Refereed Publications:**

These publications are not subjected to review by an anonymous referee. Examples of non-refereed publications may include (but are not limited to) the following:

- a) Research articles in non-refereed journals,
- b) Technical reports,
- c) Non-refereed invited papers, reviews, responses, and editorials,
- d) Presentations at conferences,
- e) Articles in popular magazines which serve to enhance public support for scientific research.

## **III. General Guidelines for Faculty Evaluation**

At the request of the Dean of the College of Arts and Sciences the Department Chair will review the faculty member's file and appraise the faculty's performance in all workload components. This appraisal will note any changes or improvements required for promotion, tenure and continued professional growth. The appraisal should conclude with a recommendation for or against retention/tenure/promotion.

The following guidelines apply to each of the three workload components as indicated.

### **III(a). General Guidelines-Evaluation of Teaching**

Given the relative importance of teaching for all faculty, thoughtful and thorough evaluation of this workload component is critical. The Chair may request the faculty to compile a teaching dossier including sample syllabi, homework, projects, quizzes, exams, and other relevant material to include in the review file to establish a basis for evaluating course content and structure. In addition, Chairs (or their designee agreed upon after consultation with the Dean of CAS) may at their discretion observe faculty teaching for the purpose of direct peer evaluation of appropriate and effective teaching methodology, delivery, course content, or other relevant information. The Chair will subsequently provide the faculty member with a written summary of these observations and any recommendations

for improvement. The faculty member should then include the Chair's written summary in the review file.

Other data such as student evaluations in the form of the course numerical summary sheets may be included in teaching evaluation. However, caution must be exercised in using the student evaluations. Comparisons of results outside a given department are unfair given the differences in departmental grade distributions and teaching methods. If numerical student evaluations are used, reviewers should compare faculty teaching the same courses or level of courses in the same department. In cases where only one faculty member is teaching a course in a given semester, reviewers should make comparisons with other faculty in other semesters. For this purpose it would be very helpful for the faculty undergoing review to compile these data and include the information in the review file. Reviewers should be careful interpreting the numerical scores. Since students use an integer value in responses, only the first digit in the mean values recorded have any significance. Reviewers should also take into consideration whether courses are upper or lower division, whether or not the courses are GER, and whether courses are required or elective in considering the numerical results. An examination of the actual distribution of responses from a class can also be useful rather than just looking at the mean value for each answer.

Faculty should not include the written student comment sheets in their review files since the reviewers have no way of knowing whether the comment sheets were screened for content.

#### **Annual Review of Teaching Prior to Tenure**

Using all the data in the review file, reviewers should evaluate the faculty for **potential for success** in teaching. If the data persuade the reviewer that a faculty member displays potential for success in teaching, this will help build the case for overall potential for success and will help build the case for a recommendation for retention. If problems exist, the reviewer should clearly specify the problem(s) and suggest corrective steps for the faculty member to pursue before his/her next review.

#### **Review of Teaching for Tenure and Promotion to Associate Professor**

In order to be awarded tenure and to be promoted to Associate Professor, faculty should demonstrate **successful** teaching. This means that any suggestions for improvement made in prior reviews have been acted upon and that reviewers detect no significant difficulties with teaching using data available in the review file. Reviewers should specify what information was used in reaching their conclusion.

#### **Review of Teaching for Promotion to Professor**

In order for an Associate Professor to be promoted to Professor, the candidate must demonstrate **exemplary** teaching. Reviewers should recall that the rank of Professor is the highest academic rank the University can bestow, so additional material which may lend support to an exemplary evaluation should be included in the file. Such additional material may include (but should not be limited to): teaching awards, unsolicited letters of commendation from other faculty or students, development of curriculum, development of innovative teaching methods, or other professional recognition of teaching.

### **III(b). General Guidelines-Evaluation of Service**

Evaluation of the service component of faculty workloads should follow accepted practice as defined in existing guidelines for faculty review in the UA\_CBA and within CAS. However, reviewers of Natural Science faculty should take special note of professional service as referees for journals/books/grant proposals/experimental facility awards since such service carries a substantial time commitment. Such service should be considered meritorious. The faculty member is also expected to contribute service at the departmental and university level as well as within the community.

### **III(c). General Guidelines-Evaluation of Research/Scholarly Activity**

To assist reviewers in ascertaining the faculty member's research/scholarly accomplishments during the review period, the Chair may request that the faculty member include copies in his/her review file of all manuscripts that are in preparation, submission/review or published. In assessing performance, primary emphasis will be placed on refereed manuscripts; non-refereed research products are considered to be a secondary level of research productivity and will not be acceptable as sole criteria for assessing the faculty member's potential for success in the research component of the workload or to determine progress towards promotion and tenure.

In cases where a new faculty member has research results (conducted elsewhere and prior to hire at UAA) published with a non-UAA affiliation soon after arrival at UAA, that publication will be counted in assessing research productivity. However, reviewers should note that such work does not satisfy any requirement to demonstrate **local** research activity while at UAA.

Since research faculty will be expected to submit research grant proposals to internal (UA) and/or external funding agencies on a regular basis, the Chair may also request that evidence of these submissions be included in the review file. In reviewing funding activity, competitive grant proposals that are funded will be considered meritorious. In addition to competitive grants from internal/external funding agencies, awards of experimental time and collaboration at national labs, observatories, or computing facilities will be given equal merit.

In general, faculty undergoing annual review prior to tenure will be expected to demonstrate **potential for success** in research through the documentation in their file. Faculty standing for tenure and promotion to Associate Professor should demonstrate **success** in this workload component. Each discipline has specified the standards for each level of accomplishment. In those cases where a faculty member changes workload categories, (e.g. changes from **3:1:1** to **2:2:1**) research productivity should be judged on a pro-rated basis taking into account the time spent in each category.

In order for an Associate Professor to be promoted to Professor, the candidate must demonstrate **exemplary** research productivity beyond the accepted level for the rank of Associate Professor. Exemplary productivity will be measured by a continued rate of success in refereed publications and the maintenance of a successful and active research program that includes funded internal and external grants and/or awards of experimental/computational time at national labs. Each discipline has established appropriate measures for meeting this high standard, keeping in mind that the rank of Professor is the highest rank the University can award to faculty. External reviews should also be sought at this stage following UA\_CBA 9.2.5.b.1.

## IV. Departmental Specific Guidelines -Evaluation of Research/Scholarly Activity

In recognition of differences in the various scientific disciplines, each department has crafted specific guidelines which apply to its unique expectations of faculty in research/scholarly activity. These departmental specific guidelines are in addition to the general guidelines outlined above and are listed by discipline/department below.

### IV(a). Chemistry

**Primary:** Refereed publications which shall consist of research articles in recognized journals or books in the field.

**Secondary:** Non-refereed publications.

While individual faculty members may demonstrate capability in research via contributions to both Primary and Secondary categories, productivity must include publishing in refereed journals or books.

The level of research productivity necessary for retention, tenure, and/or promotion will be defined primarily by the quality of publications during a particular interval. The faculty should be prepared to demonstrate quality as evidenced by such criteria as (but not limited to): prestige or impact factor of the journal, citations, and impact in the field of study. In addition, the faculty member should be prepared to demonstrate the originality of the research product with respect to that faculty member being the primary integral of that work in the event of a collaborative effort.

#### **1<sup>st</sup> Year Retention Review:**

To demonstrate **potential for success** a **3:1:1** or **2:2:1** faculty member undergoing first year retention review should have a minimum of one manuscript in preparation for submission to a refereed publication.

#### **2<sup>nd</sup> Year Retention Review:**

By the end of the second year, to demonstrate **potential for success**, a **3:1:1** or **2:2:1** faculty member should have at least one manuscript completed and a timeline for submission to a refereed publication. Faculty should demonstrate the pursuit of funding for their work.

#### **4<sup>th</sup> Year Comprehensive Retention Review**

To demonstrate **potential for success** a **3:1:1** faculty member undergoing 4th year comprehensive review should have at least one refereed manuscript accepted for publication as well as at least one additional manuscript in preparation or completed with a timeline for submission to a refereed publication. The faculty member should demonstrate the attempt to obtain funding in order to maintain their research program. Positive evaluation can include an award for a successful proposal or favorable review in the event of a declined proposal. It should be demonstrated that the faculty member has established a research program such that they are the primary integral participant in that program and



that they illustrate potential for success as an independent leader of scientific investigation in their field. A **2:2:1** faculty member should have successfully been awarded funding to maintain their research. Although publications are an important measure of productivity, a **2:2:1** faculty member should clearly demonstrate that their research productivity is higher than the measured rate of a **3:1:1** faculty utilizing the faculty criteria for evaluation while meeting the same standard for **3:1:1** with regard to potential for success.

### **Research/Scholarly Activity Criteria for Tenure and Promotion to Associate Professor**

To demonstrate **success** in Research/Scholarly Activity a **3:1:1** faculty member should show a minimum research productivity of at least three manuscripts accepted for publication in refereed journals during employment by UAA in order to be promoted to Associate Professor and be awarded tenure. At least a portion of the refereed publications must be derived from work centered in the candidate's laboratory and that they illustrate potential for success as an independent leader of scientific investigation in their field. These publications serve as a representation of the faculty member's ability to design, conduct, and mentor novel research at the University of Alaska Anchorage and serve to objectively illustrate a successful candidacy for promotion to Associate Professor. Evidence of successful funding should be demonstrated. These funds can be obtained either internally (UA) and/or externally. A **2:2:1** faculty member should have successfully been awarded significant funding to maintain their research. Although publications are an important measure of productivity, a **2:2:1** faculty member should clearly demonstrate that their research productivity is higher than the measured rate of a **3:1:1** faculty utilizing the faculty criteria for evaluation while meeting the same standard for **3:1:1** with regard to potential for success.

### **Promotion to Professor**

A **3:1:1** and **2:2:1** faculty member must demonstrate **exemplary** performance in research in order to be promoted to the highest faculty rank of Professor of Chemistry. Local reviewers should examine the faculty member's actual workload category(ies) in evaluating productivity in research and publications produced at UAA. In addition, consideration must be given to the entire career productivity of the candidate, not limited to time at UAA only.

The rank of Professor is an indication of the stature of the scientist among his/her peers, so evaluation by researchers external to UAA must be sought, where reviewers should weigh both the number and quality of refereed publications produced plus research funding received and/or support awarded at national labs over the individual's career to determine whether "exemplary" is warranted. This is very much a professional judgment issue, best left to peers for determination since quality of research can really only be judged by others in the field.

## IV(b). Geological Sciences

Research and scholarly activity in the geological sciences is expected to yield the following products:

**Refereed publications:** In addition to the examples listed in section II, professional reports including maps that undergo anonymous refereed review in the discipline may also be considered.

**Non-refereed publications:** In addition to the examples listed in section II, the following types of publications in the discipline that have not been subjected to the refereed process may be considered:

- a) Technical reports including maps,
- b) Field guides or books.

While individual faculty members may demonstrate research achievement through contributions to both of these categories, research productivity is expected to include publishing in refereed journals in the discipline of geological sciences. In addition, at least a portion of these publications must be first-authored (not to be considered the same as single-authored). A first-authored publication is the primary indication of the faculty member's ability to design, conduct and complete independent research whether it includes significant collaborations or not. The level of research achievement expected (i.e. number of publications/year) will be based on the workload agreement assigned to each faculty member and the rank of the faculty member as outlined below. Faculty members may demonstrate capability in research via contributions to all primary and secondary categories. However, research productivity is expected to include publishing in refereed journals or books as well as seeking and obtaining funding to support research. For publications, the level of productivity necessary for retention, tenure, and/or promotion will be defined primarily by the quality of publications during a particular interval. The faculty should demonstrate quality as evidenced by such criteria as (but not limited to): prestige or impact factor of the journal, citations, and impact in the field of study. In addition, faculty members engaged in large collaborations should demonstrate that they have made a significant contribution to the collaboration. For example, in addition to being listed as a co-author, supporting letters from the leader(s) of the collaboration should also be provided.

### 1<sup>st</sup> and 2<sup>nd</sup> Year Retention Reviews

**3:1:1 or 2:2:1:** In order to demonstrate **potential for success**, a faculty member undergoing the 1<sup>st</sup> year retention review should have a minimum of one manuscript in preparation for submission to a refereed publication for the time in rank at UAA. However, this recommendation is flexible, allowing the new faculty startup time. Reviewers should look for indications of real potential in this critical year and offer guidance where possible, especially by noting areas where improvement is needed.

By the end of the 2<sup>nd</sup> year in rank at UAA in order to demonstrate **potential for success** the faculty member is expected to have at least one manuscript submitted to a refereed publication produced during his/her time in rank at UAA. In anticipation of the upcoming 4<sup>th</sup> Year Comprehensive Review the faculty member should also take note that a first-authored, refereed publication will be expected and that other manuscripts should be in preparation.

Other types of non-refereed research products are considered a secondary level of research productivity and will not be accepted as the sole criteria for assessing the faculty member's potential for success in the research component of the workload. The faculty member will also be expected to submit research grant proposals to internal (UA) and/or external (e.g., NSF, DOI, EPA) funding

agencies on an annual basis. Competitive grant proposals that are funded will be considered meritorious. Reviewers should look for indications of real potential in these critical years and offer guidance where possible, especially by noting areas where improvement is needed.

#### **4<sup>th</sup> Year Comprehensive Retention Review**

**3:1:1** or **2:2:1**: A faculty member undergoing the 4<sup>th</sup> year comprehensive review is expected to demonstrate the **potential for success** in research productivity. In order to demonstrate the potential for success in research it is expected that the faculty member will have at least one first-authored, refereed manuscript accepted for publication (during his/her time in rank at UAA) as well as at least two additional manuscripts in preparation or submitted for publication to refereed journals. Other types of non-refereed research products are considered a secondary level of research productivity and will not be acceptable as sole criteria for assessing the faculty member's potential for success in the research component of the workload or to determine progress towards promotion and tenure. The faculty member is expected to also have obtained internal and/or external funding in order to maintain his/her research program.

#### **Research Criteria for Tenure and Promotion to Associate Professor**

A **3:1:1** faculty member is expected to **demonstrate success** in research in order to be awarded tenure and promotion to the rank of Associate Professor. Success in research in geological sciences will minimally be indicated by having at least three manuscripts accepted for publication in refereed journals during employment by UAA, one of which must be first-authored, and by obtaining **internal and/or external** funding to support research activity.

A **2:2:1** faculty member is expected to **demonstrate success** in research in order to be awarded tenure and promotion to the rank of Associate Professor. Success in research in geological sciences will minimally be indicated by having at least four manuscripts accepted for publication in refereed journals during employment by UAA, two of which must be first-authored, and by obtaining **external** funding to support research activity.

#### **Promotion to Professor**

**3:1:1** or **2:2:1**: A faculty member must demonstrate **exemplary** performance in research in order to be promoted to the highest faculty rank of Professor of Geological Sciences. Exemplary performance will be demonstrated by a consistent track record of publications in refereed journals in the discipline of geological sciences as well as an established research program that is supported by both internal and external funding. Local reviewers should examine the faculty member's actual workload category(ies) in evaluating productivity in research and publications produced at UAA. In addition, consideration must be given to the entire career productivity of the candidate, not limited to time at UAA only.

The rank of Professor is an indication of the stature of the scientist among his/her peers, so evaluation by researchers external to UAA must be sought, where reviewers should weigh both the number and quality of refereed publications produced plus research funding received and/or support awarded at national labs over the individual's career to determine whether "exemplary" is warranted. This is very much a professional judgment issue, best left to peers for determination since quality of research can really only be judged by others in the field.

## IV(c). Physics and Astronomy

Research in physics and astronomy is expected to yield the following results:

- Primary:** Refereed publications which shall consist of research articles in recognized journals or books in the field.
- Secondary:** Non-refereed publications.

While individual faculty members may demonstrate capability in research via contributions to both primary and secondary categories, productivity must include publishing in refereed journals or books and seeking research support in the form of direct funding and/or support from national or international labs.

For publications, the level of productivity necessary for retention, tenure, and/or promotion should depend on the quality of publications and the faculty workload category. Faculty should demonstrate the quality of their work. There are many ways of demonstrating quality. Examples include (but are not limited to): prestige or impact factor of the journal, citations, and impact in the field of study. In addition, faculty members publishing in large collaborations should demonstrate that they have made a significant contribution to the collaboration. For example, supporting letters from the leader(s) of the collaboration would be sufficient.

### **1<sup>st</sup> Year Retention Review**

A **3:1:1** or **2:2:1** faculty member undergoing 1<sup>st</sup> year retention review must demonstrate **potential for success** in research. This could best be accomplished by having a minimum of one manuscript in preparation for submission to a refereed publication. However, this recommendation is flexible, allowing for new faculty startup time. Reviewers should look for indications of real potential in this critical year and offer guidance where possible, especially by noting areas where improvement is needed.

### **2<sup>nd</sup> Year Retention Review**

By the end of the 2<sup>nd</sup> year, a **3:1:1** or **2:2:1** faculty member should demonstrate **potential for success** by having at least one manuscript submitted to a refereed publication. Faculty should demonstrate beginning the pursuit of funding for their work as an indicator of potential for success in research. Reviewers should continue to note areas where improvement is needed, and to acknowledge progress made from the previous year.

### **4<sup>th</sup> Year Comprehensive Retention Review**

A **3:1:1** or **2:2:1** faculty member undergoing 4<sup>th</sup> year comprehensive review should be able to show a **potential for success** as a research faculty. At the time of this review, faculty should have at least one refereed manuscript accepted for publication as well as at least one additional manuscript in preparation for submission to a refereed publication. The faculty member should demonstrate attempts to obtain internal and/or external funding in order to maintain their research program. Successful applications for funding will be considered meritorious as will successful applications for experimental/computing time at national facilities. Reviews at this time should indicate any remaining

areas of needed improvement as the faculty member approaches the critical review for tenure and promotion.

### **Research/Scholarly Activity Criteria for Tenure and Promotion to Associate Professor**

A **3:1:1** faculty member should demonstrate **success** in research in order to be awarded tenure and promotion to the rank of Associate Professor. Success in research in physics and astronomy should minimally be indicated by having at least three manuscripts accepted for publication in refereed journals during employment by UAA, and by obtaining either internal or external funding to support research activity. Support received from national or international laboratories to enable research programs may also be given as evidence in support of research success.

A **2:2:1** faculty member should demonstrate **success** in research in order to be awarded tenure and promotion to the rank of Associate Professor. Success in research in physics and astronomy in this workload should minimally be indicated by having at least four manuscripts accepted for publication in refereed journals during employment by UAA, and by obtaining external funding to support research activity. Support received from national or international laboratories to enable research programs may also be given as evidence in support of research success.

### **Promotion to Professor**

A **3:1:1** or **2:2:1** faculty member must demonstrate **exemplary** performance in research in order to be promoted to the highest faculty rank of Professor of Physics and/or Astronomy. Reviewers should weigh both the number and quality of refereed publications produced plus research funding received and/or support awarded at national labs to determine whether "exemplary" is warranted. In consideration for this rank, local reviewers should examine the faculty member's actual workload category(ies) in evaluating productivity in research and publications produced at UAA. In addition, consideration must be given to the entire career productivity of the candidate, not limited to time at UAA only.

The rank of Professor is an indication of the stature of the scientist among his/her peers, so evaluation by researchers external to UAA must be sought, where reviewers should weigh both the number and quality of refereed publications produced plus research funding received and/or support awarded at national labs over the individual's career to determine whether "exemplary" is warranted. This is very much a professional judgment issue, best left to peers for determination since quality of research can really only be judged by others in the field.

Approved by the Provost Michael Driscoll, April 2007

## Appendix G

Guidelines for Evaluation of  
Teaching, Research, and Service  
in the Department of Psychology  
University of Alaska Anchorage

Approved by the Faculty in Psychology

April, 2007

Submitted for Review

September, 2007

## Guidelines for Meeting Expectations in Teaching for Promotion and Tenure in the Psychology Department at UAA

The following guidelines were carefully developed and unanimously adopted by the full-time, tenure-track faculty in the Psychology Department at the University of Alaska Anchorage on April 2, 2007. The guidelines are only intended for use in the evaluation of teaching by full-time, tenure-track faculty seeking promotion in the Psychology Department at UAA; they may be entirely inappropriate for evaluation of faculty in other departments at UAA.

A major goal of these guidelines is to provide faculty members with departmental standards and expectations in teaching, and guide them to successful promotion and tenure. This document is intended to help a faculty member identify potential problems during each review period, and offer advice on ways to improve their teaching prior to submitting their file for promotion and/or tenure. Candidates who receive feedback suggesting the need for improvement in any areas of teaching during pre-promotion reviews are encouraged to provide detailed evidence of progress in those areas during subsequent reviews. Another goal is to inform other reviewers (e.g., Dean, CAS Promotion & Tenure Peer Review Committee, etc.) about the unique teaching expectations of UAA's Psychology Department, thereby clarifying the standards used by the Psychology Department Chair when evaluating the candidate. Therefore, the Psychology Department Chair is expected to attach these guidelines to the Chair Review in the candidate's file.

Promotion to the rank of Associate Professor and/or Tenure requires evidence of "*success*" in teaching; promotion to the rank of Full Professor requires evidence of "*exemplary*" teaching. Candidates for promotion at UAA provide such evidence in their Self Review of Teaching in the files they submit for retention, promotion, tenure, and periodic (post-tenure) review.

### **Course-by-Course Evidence**

Candidates for promotion in the Psychology Department at UAA are encouraged to have a separate section in their Self Reviews (in Retention, Promotion, and Periodic Review files) for each of the courses they have taught during the review period, and are further encouraged to address four domains in each of their courses:

- Teaching Philosophy: a description of the candidate's philosophy for teaching the course;
- Course Content: the extent to which instruction was designed around the official goals and objectives as described in the Course Content Guide;
- Course Assessment: the extent to which the assessment of students was rigorous and appropriately targeted the goals and objectives of the course;
- Classroom Instruction: assessments of the method and style of course delivery by the candidate.

The candidate's Self Review will be evaluated by the Department Chair using the following form and the following scale. The presumption is that "4's" and "5's" will be used rarely and that "3's" are indicative of reaching the standards for promotion to the sought-after rank. For promotion to associate professor "3" indicates "*successful teaching*;" for promotion to full professor "3" indicates "*exemplary teaching*."

5=Far exceeds the expectation for promotion to the sought-after rank  
 4=Exceeds the expectation for promotion to the sought-after rank  
 3=Meets the expectation for promotion to the sought-after rank  
 2=Falls short of the expectation for promotion to the sought-after rank  
 1=Falls far short of the expectation for promotion to the sought-after rank

<b>1. Domain 1: PHILOSOPHY</b>					
a. Candidate's statement about his/her goals as the instructor (e.g., <i>"I want students to understand how different statistical techniques help answer different empirical questions; I am not interested in students rote memorization of computational formulas."</i> )	1	2	3	4	5
b. Candidate's statement about his/her methods of instruction (e.g., <i>"I provide over 600 PowerPoint slides so students can listen to concepts rather than urgently writing formulas and definition."</i> )	1	2	3	4	5
c. Candidate's statement about his/her methods of assessment (e.g., <i>"I separate exams into conceptual questions and computational problems."</i> )	1	2	3	4	5
d. Candidate's statement about addressing diversity in the classroom.	1	2	3	4	5
e. Evidence of progress from previous reviews.	1	2	3	4	5
<b>2. Domain 2: CONTENT</b>					
a. Self-review focuses on goals and objectives as outlined in CCG.	1	2	3	4	5
b. Syllabus adequately reflects goals/objectives of CCG.	1	2	3	4	5
c. Exams and assignments adequately assess goals/objectives.	1	2	3	4	5
d. Consultation with peers about syllabus & assignments.	1	2	3	4	5
e. Evidence of progress from previous reviews.	1	2	3	4	5
<b>3. Domain 3: ASSESSMENT</b>					
a. Appropriate methods are used to assess individual differences in student mastery of the goals/objectives.	1	2	3	4	5
b. Rigorous methods are used to assess individual differences in student mastery of the goals/objectives of the course	1	2	3	4	5
c. Clear and objective grading criteria are presented for major assignments and reflective of the goals/ objectives of the course.	1	2	3	4	5
d. Grade distributions are appropriate for the course level and indicative of rigorous evaluation.	1	2	3	4	5
e. Evidence of progress from previous reviews.	1	2	3	4	5



4. Domain 4: CLASSROOM INSTRUCTION					
a. Student evaluation of instruction (both quantitative and qualitative)	1	2	3	4	5
b. Peer evaluation of instruction	1	2	3	4	5
c. Responsiveness to student and peer evaluation	1	2	3	4	5
d. Innovative and creative tools	1	2	3	4	5
e. Evidence of progress from previous reviews.	1	2	3	4	5

### **Integrative Evidence**

Whereas candidates are encouraged to provide separate evidence of the above four domains for each of the courses they taught, candidates are also encouraged to provide an overall, integrative assessment that applies to the above four areas across all of their courses during the review period. Their overall/integrative self review should also provide evidence of other teaching-related activities in the following areas.

5. Domain 5: OTHER TEACHING-RELATED ACTIVITIES					
a. Licensure preparation/maintenance (where relevant)	1	2	3	4	5
b. Teaching workshops attended	1	2	3	4	5
c. Teaching workshops given	1	2	3	4	5
d. Summary of one-on-one student mentoring	1	2	3	4	5
e. Summary of curriculum development	1	2	3	4	5
f. Summary of professional goals in teaching	1	2	3	4	5
g. Evidence of progress from previous reviews	1	2	3	4	5

### **Promotion Review by Department Chair**

To meet expectations for promotion to Associate Professor and Tenure, candidates must show "success" in teaching; to meet expectations for promotion to Full Professor, candidates must demonstrate "exemplary" teaching. Candidates who, based on the Chair's review of the promotion file, average "3" throughout their course-by-course and integrative evidence during the review period have met the teaching expectations for promotion. Candidates who fall short in an isolated domain of course-by-course or integrative evidence in their promotion files can still be considered to have met the teaching expectations. Candidates who fall short in multiple domains of the promotion and/or tenure file are at risk of not receiving Chair endorsement. In cases where the candidate appears to have fallen short in one or more domain, the Department Chair may seek consultation with departmental colleagues who have achieved the rank that the candidate seeks. This consultation will be based on the Chair's summary of the candidate's file, and will respect all University regulations concerning proper handling and access to files.

## Guidelines for Meeting Expectations in Research for Promotion and Tenure in the Psychology Department at UAA

The following guidelines were carefully developed and unanimously adopted by the full-time, tenure-track faculty in the Psychology Department at the University of Alaska Anchorage on March 5, 2007. The guidelines are only intended for use in the evaluation of research productivity by full-time, tenure-track faculty seeking promotion in UAA's Psychology Department; they may be entirely inappropriate for evaluation of faculty in other departments at UAA.

A major goal of these guidelines is to provide faculty members with departmental standards and expectations in research, and guide them to successful promotion and tenure by identifying potential problems during the review period and offering advice on ways to improve their research productivity prior to submitting their files for promotion and/or tenure. Candidates who receive feedback suggesting the need for improvement in research during pre-promotion reviews are encouraged to provide detailed evidence of progress in those areas during subsequent reviews. Another goal is to inform other reviewers (e.g., Dean, CAS Promotion & Tenure Peer Review Committee, etc.) about the unique research expectations of UAA's Psychology Department, thereby clarifying the standards used by the Psychology Department Chair when evaluating the candidate. Therefore, the Psychology Department Chair is expected to attach these guidelines to the Chair Review in the candidate's file.

### 1. Promotion to Associate Professor

#### **a. Basic Research Expectations for Promotion to Associate Professor.**

For promotion to associate professor, a tripartite candidate must have "demonstrated evidence of successful college-level teaching, service and research/creative activity" (UAA Faculty Handbook, p. 57). The UAA Department of Psychology has determined that "success" in research activity is met if the candidate for promotion to Associate Professor publishes 6 or more peer-reviewed articles (PRAs) in peer-reviewed journals of psychology during his/her time in rank (either at UAA or elsewhere) as an Assistant Professor. Of those 6 PRA's,

- i. At least 3 must list the candidate as first author;
- ii. At least 4 must list UAA as the candidate's institutional affiliation, and
- iii. No more than 2 PRA's may be substituted by "other scholarly activities" (see below).

**Special Note on PRA's with more than Six Authors:** For PRA's with more than six authors, 1st and 2nd authorships earn 1.0 PRA; later authorship can be counted by the Department Chair as a full or partial PRA based on (a) the candidate's explanation of his/her contributions to the manuscript and (b) a review of the manuscript. Otherwise, articles with more than six authors will be counted below among "other scholarly activity."

**Special Note on Research Components of Workloads:** These research expectations apply to any tenure-track faculty members with research included in their workload, regardless of other aspects of their workload. The above is based on the assumption that the candidate has a 3:1:1 (teaching: research: service)

workload. Research expectations will be adjusted based on the extent to which research is reflected in the faculty member's workload. That is, the expectations listed above will be doubled for candidates with a 2:2:1 workload, and tripled for candidates with a 1:3:1.

- b. **Other Scholarly Activities for Promotion to Associate Professor.** Provided that the candidate has at least 4 PRA's with UAA institutional affiliation and 3 first-authored PRA's, the candidate can substitute other scholarly activities in place of 2 PRA's. Other scholarly activities can be substituted for PRA's in the following ways:

- i. Books
  1. Book 1<sup>st</sup> author: = 2.50 PRAs
  2. Book later author: = 1.50 PRAs
  3. Book 1<sup>st</sup> editor: = 1.50 PRAs
  4. Book later editor: = 1.00 PRA
  5. Ch. 1<sup>st</sup> author: = .85PRA
  6. Ch. later author: = .50 PRA
- ii. PRAs with GT 7 authors not included above = .50 PRA
- iii. International or national (e.g., APA) conference presentation
  1. 1<sup>st</sup> author = .25 PRA,
  2. Later author = .20 PRA
- iv. Regional conference presentation (e.g., WPA)
  1. 1<sup>st</sup> author = .20 PRA,
  2. Later author = .10 PRA
- v. State or local conference presentation (e.g., BSCN)
  1. 1<sup>st</sup> author = .10 PRA,
  2. Later author = .05 PRA
- vi. Published abstracts or conference proceedings
  1. 1<sup>st</sup> author = .20 PRAs (providing the abstract/proceedings were not previously counted as a conference presentation).
  2. Later author = .10 PRAs (see above provision)
- vii. Extramural grant application (minimum \$50k)
  1. Funded = 1.00 PRA
  2. Not funded = .50 PRA
- viii. Intramural grant application
  1. Funded = .25 PRA
  2. Not funded = .00 PRA
- ix. Other (e.g., technical reports, manuals, articles with 7+ authors, grants less than \$50k, or other research products that are not counted above).
  1. PRA units in the "Other" category are assigned by the Department Chair based on (a) the candidate's explanation of his/her contributions to the product, (b) the Chair's review of the product, and (c) consultation with tenured colleagues in the Psychology Department. A product in the "Other" category can be assigned any value (i.e., above or below 1.0)

**Special Note on Duplicated or Reproduced Research:** It is customary for faculty to feature their research in multiple forums and in different formats, for instance giving a poster or oral presentation at a conference on a set of analyses from some data, and then producing a peer-reviewed journal article based in part

on the same analyses with the same data. When two products have substantially different forums (e.g., conference vs. journal) and/or different formats (poster vs. manuscript), both count toward meeting the research expectations. However, when one product largely reproduces or duplicates intact an earlier product (e.g., when a book chapter republishes an earlier peer-reviewed journal, or when conference proceedings publish an abstract that was presented at the conference) only one of these products may be applied to promotion.

## **2. Research Expectations for Promotion to Full Professor.**

For promotion to full professor, the candidate must provide “evidence of exemplary” teaching, service, and research/creative activity” (UAA Faculty Handbook, p. 57). A candidate for promotion to full professor of psychology at UAA should provide two kinds of convincing evidence of exemplary research.

### **a. PRA's:**

To be considered exemplary in research, the candidate is expected to publish at least 12 peer-reviewed articles (PRAs) during the entire academic career. Of those 12 PRA's,

- i. at least 6 must list the candidate as first author,
- ii. at least 8 must list UAA as the candidate's institutional affiliation, and
- iii. up to 4 PRA's can be substituted by “other scholarly activities” using the guidelines listed above for candidates seeking promotion from assistant to associate professor.

The same special notes that apply to candidates seeking promotion to associate professor apply for candidates seeking promotion to full professor.

### **b. Additional Evidence:**

In addition to PRA's, the candidate should provide additional information that demonstrates why the candidate's research activity should be considered “exemplary.” Examples of additional evidence include, but are not limited to:

- i. Setting up a new research lab for students;
- ii. Supervised multiple successful student theses;
- iii. Publishing an article with extraordinary impact;
- iv. Having sole-authored publications;
- v. Earning research awards;
- vi. Being awarded extramural grants;
- vii. Serving as an editor or associate editor of a peer-reviewed journal;
- viii. Being invited to give an address to a national or international conference;
- ix. Research-related service (e.g., journal reviewer);
- x. Other

**Special Note:** all special notes that applied toward promotion to Associate Professor also apply to promotion to full Professor.

## **3. Promotion Review by Department Chair**

Candidates who meet the above expectations for promotion to Associate Professor (namely, 6 PRA's where at least 6 are first-authored articles and 4 list UAA-affiliation) or promotion to full Professor (namely, 12 PRA's where at least 6 are first-authored articles and 8 list UAA-affiliation, and additional evidence about exemplary research) have met the research expectations for promotion. Candidates who fall short of these expectations, by contrast, are at risk of not receiving Chair endorsement for tenure and/or

promotion. Such candidates might still receive Chair endorsement but must provide a careful explanation in their Self-Review as to how "successful" or "exemplary" research was alternatively achieved (e.g., being the first author on a highly-cited article in a high-impact journal). Alternate models of achievement are viable. In cases where candidates are requesting to be evaluated under alternative models, the Department Chair may seek consultation with departmental colleagues who have achieved the rank that the candidate seeks. This consultation will be based on the Chair's summary of the candidate's file, and will respect all University regulations concerning proper handling and access to files.

## Guidelines for Meeting Expectations in Service for Promotion and Tenure in the Psychology Department at UAA's Anchorage Campus

The following guidelines were carefully developed and unanimously adopted by the full-time, tenure-track faculty in the Psychology Department at the main campus of the University of Alaska Anchorage on April 2, 2007. The guidelines are only intended for use in the evaluation of service by full-time, tenure-track faculty seeking promotion in the Psychology Department at UAA's main campus; they may be entirely inappropriate for evaluation of faculty in other departments at UAA or other campuses of UAA.

A major goal of these guidelines is to provide faculty members with departmental standards and expectations in service, and guide them to successful promotion and tenure by identifying potential problems during the review period and offering advice on ways to adjust their service prior to submitting their files for promotion and/or tenure. Candidates who receive feedback suggesting the need for improvement in any areas of service during pre-promotion reviews are encouraged to provide detailed evidence of progress in those areas during subsequent reviews. Another goal is to inform other reviewers (e.g., Dean, CAS Promotion & Tenure Peer Review Committee, etc.) about the unique service expectations of UAA's Psychology Department, clarifying the standards used by the Psychology Department Chair when evaluating the candidate. Therefore, the Psychology Department Chair is expected to attach these guidelines to the Chair Review in the candidate's file.

Promotion to the rank of Associate Professor and/or the granting of Tenure requires evidence of "success" in service; promotion to the rank of Full Professor requires evidence of "exemplary" service. Candidates for promotion at UAA provide such evidence in their Self Review of Service in the files they submit for retention, promotion, tenure, and periodic (post-tenure) review. The candidate's Self Review of Service will be evaluated by the Department Chair using the following form and the following scale. The presumption is that "4's" and "5's" will be used rarely and that "3's" are indicative of reaching the standards for promotion to the sought-after rank. For promotion to Associate Professor, "3" indicates "successful service;" for promotion to Full Professor, "3" indicates "exemplary service."

**Note:** Any compensated activities outside of the University should not be included as service (such as consulting contracts or private clinical practice). As such, anything listed on the outside employment disclosure form should not be included as service.

5=Far exceeds the expectation for promotion to the sought-after rank  
 4=Exceeds the expectation for promotion to the sought-after rank  
 3=Meets the expectation for promotion to the sought-after rank  
 2=Falls short of the expectation for promotion to the sought-after rank  
 1=Falls far short of the expectation for promotion to the sought-after rank

<b><u>Service Guidelines for Assistant Professors in anticipation of Tenure &amp; Promotion to Associate Professor</u></b>					
1. Year 1					
a. Student advising	1	2	3	4	5
b. Participation in overall departmental governance (i.e., attend and participate in faculty meetings)	1	2	3	4	5
c. Participation in one of the Department's curriculum	1	2	3	4	5

committees (i.e., Undergrad. Studies Committee, Clinical Training Committee, PhD Program Committee)					
<b>2. Year 2</b>					
a. Student advising	1	2	3	4	5
b. Participation in overall departmental governance	1	2	3	4	5
c. Participation in one of the Department's curriculum committees (i.e., USC, CTC, PhD Committee)	1	2	3	4	5
d. Participation in some other departmental committee (e.g., faculty search committee, BSCN committee)	1	2	3	4	5
e. Averaging 1 hour/week of professionally-related community service or professional service	1	2	3	4	5
<b>3. Years 3+</b>					
a. Student advising	1	2	3	4	5
b. Participation in overall departmental governance	1	2	3	4	5
c. Participation in one of the Department's curriculum committees (i.e., USC, CTC, PhD Committee)	1	2	3	4	5
d. Chairing some other departmental committee (e.g., faculty search committee, BSCN committee). Note: Untenured faculty are discouraged from being Department Chair, and should be cautious about chairing one of the Department's curriculum committees.	1	2	3	4	5
e. Averaging 1 hour/week of professionally-related community service or professional service	1	2	3	4	5
f. Participation in a college- or university-wide committee (e.g., Faculty Senate, GAB, IRB, IACUC, Undergraduate Research Taskforce). Note: Untenured faculty should be cautious about chairing a college-wide or university-wide committee.	1	2	3	4	5
<b><u>Service Guidelines for Associate Professors in anticipation of promotion to Professor</u></b>					
a. Student advising	1	2	3	4	5
b. Participation in overall departmental governance	1	2	3	4	5
c. Participation in one of the Department's curriculum committees (i.e., USC, CTC, PhD Committee)	1	2	3	4	5
d. Chairing one of the Department's curriculum committees (i.e., USC, CTC, PhD Program Committee)	1	2	3	4	5
e. Chairing other departmental committees (e.g., faculty search committee, BSCN committee, PhD student admissions committee). Note: Associate Professors should be cautious about being the Department Chair or Director of Clinical Training.	1	2	3	4	5
f. Averaging 1 hour/week of professionally-related community service or professional service, while taking more of a leadership role (e.g., serving as a journal or grant reviewer, chairing a professional organization, serving on the board of directors of a community organization)	1	2	3	4	5
g. Chairing a college-wide or university-wide committee or subcommittee (e.g., IACUC, Senate Diversity Subcommittee).	1	2	3	4	5

**Promotion Review by Department Chair**

To meet expectations for promotion to Associate Professor and/or Tenure, candidates must show "*success*" in service; to meet expectations for promotion to Full Professor, candidates must demonstrate "*exemplary*" service. Candidates should, based on the Department Chair's assessment, (i) earn at least 3's on *a-c* above, that is participation in student advising, departmental governance, and departmental curriculum committees, and (ii) average 3.0+ across the all of the above areas during the review period. Candidates who earn less than 3's on *a-c* or average less than 3.0 across all of the above areas are also at risk of not receiving Chair endorsement. In such cases, the Department Chair may seek consultation with departmental colleagues who have achieved the rank that the candidate seeks. This consultation will be based on the Chair's summary of the candidate's file, and will respect all University regulations concerning proper handling and access to files.



## **Appendix H**

### **Guidelines for Faculty Review in the Biological Sciences**

#### **University of Alaska Anchorage**

**January 15, 2009, rev. May 26, 2009.**

## **Table of Contents**

I.	Introduction.....	3
II.	Definitions.....	3
III.	General Guidelines for Faculty Evaluation.....	5
	(a). General Guidelines-Evaluation of Teaching.....	5
	(b). General Guidelines-Evaluation of Service.....	7
	(c). General Guidelines-Evaluation of Research/Scholarly Activity.....	8
IV.	Evaluation of Research/Scholarly Activity.....	9

## **I. Introduction**

The Department of Biological Sciences in the College of Arts and Sciences (CAS) at the University of Alaska Anchorage (UAA) has adopted the following guidelines and definitions for evaluating faculty. The information within this document is designed to be used by faculty preparing for retention/tenure/promotion review and by those responsible for assessing review files. This document is to be used in conjunction with the University of Alaska Board of Regents' Policies, the University of Alaska Anchorage Policies, and the UNAC and UAFT Collective Bargaining Agreements. If there is a conflict between the policies, CBAs, and the College of Arts and Sciences Faculty Evaluation Procedures for Retention, Promotion, Tenure, and Periodic Review, the policies and CBAs will prevail.

## **II. Definitions**

### **Workloads:**

In the specific guidelines which follow, it is presumed that the typical faculty appointment is 'tripartite' with teaching, research and service components; Sections III and IV of this document apply to tripartite faculty. Faculty with 'bipartite' appointments have two workload components, for example teaching and service components with no formal or contractual research component. Other allocations of a bipartite workload are possible. Sections III(a) and III(b) apply to bipartite faculty.

An example of a bipartite workload is:

**4:0:1** appointment (80% teaching; 00% research; 20% service)

Examples of tripartite workloads are the following:

**3:1:1** appointment (60% teaching; 20% research; 20% service)

**2:2:1** appointment (40% teaching; 40% research; 20% service)

**1:3:1** appointment (20% teaching; 60% research; 20% service)

### **Annual Retention Review prior to Tenure and Promotion to Associate Professor:**

All untenured faculty are reviewed for retention annually prior to tenure and promotion to Associate Professor. These annual retention reviews will be carried out by:

- a) Campus Director, for those faculty whose primary assignment is at one of UAA's extended sites.
- b) Department Chair/WWAMI Director, each at the request of the Dean of CAS, provided the Department Chair is tenured in those cases where the faculty under review is represented by the UNAC.
- c) CAS Dean or his/her designee

**4<sup>th</sup> Year Comprehensive Retention Review prior to Tenure and Promotion to Associate Professor:**

UNAC-represented faculty completing three years of academic employment will undergo comprehensive retention review at the beginning of their 4<sup>th</sup> year. In accordance with Article 9.2.5 of the United Academic Collective Bargaining Agreement (UA\_CBA), during the 4<sup>th</sup> year retention review the faculty member will be comprehensively and diagnostically reviewed by the following:

- a) Department Chair (if tenured)/WWAMI Director, each at the request of the Dean of CAS
- b) Unit Peer Committee, at the request of the Dean of CAS
- d) CAS Dean,
- e) University-Wide Peer-Review Committee,
- f) Provost,
- g) Chancellor, at the request of the faculty member

**Mandatory Year to Apply for Tenure and Promotion to Associate Professor:**

A tenure-track faculty member may be evaluated for tenure in any year of service, but must be evaluated for tenure by the beginning of the mandatory year at UAA. The current mandatory year for an Assistant Professor to be evaluated for promotion and tenure is the beginning of the seventh year of service at UAA (i.e. after completing 6 years of service in the department). If the faculty member applies for promotion and tenure prior to the mandatory year, he/she shall be evaluated on the basis of the performance expectations that would exist at the time of the mandatory tenure review. External reviews must be sought at this stage as indicated in the applicable CBA.

**Refereed Publications:**

Prior to publication, refereed manuscripts undergo a process of detailed review by independent experts in the field of study. The result of the review may be suggested minor, moderate, or major changes, a recommendation for immediate publication, or a recommendation against publication in the journal, volume, or book to which the manuscripts were submitted.

**Editor Reviewed:**

Editor reviewed manuscripts are reviewed by one or more editors. Examples may include (but are not limited to) final reports, technical reports and conference publications.

**Non-Refereed Publications:**

These publications are not subjected to rigorous scientific review. Examples of non-refereed publications may include (but are not limited to) the following:

- f) Research articles in non-refereed journals,
- g) Technical reports,
- h) Non-refereed invited papers, reviews, responses, and editorials,
- i) Articles in popular magazines which serve to enhance public support for scientific research.

### **Department Chair:**

In accordance with provisions in the UNAC Collective Bargaining Agreement, a department chair must be a tenured faculty member in order to provide formal written reviews of UNAC faculty.

## **III. General Guidelines for Faculty Evaluation**

The Campus Director (when providing a review), the tenured Department Chair/WWAMI Director (when providing a review) and the Unit Peer Committee (each at the request of the Dean of the College of Arts and Sciences) will review in turn a faculty member's file and assess the faculty's performance in all relevant workload components for bipartite and tripartite faculty. This appraisal will note any changes or improvements required for promotion, tenure and continued professional growth. The appraisal should conclude with a recommendation for or against retention/tenure/promotion.

The following general guidelines apply to each of the three workload components as indicated.

### **III(a). General Guidelines-Evaluation of Teaching**

**Overview:** Given the relative importance of teaching for all faculty, a thoughtful and thorough evaluation of this workload component is critical. In addition to the documents specified in Section 5.0 of the *CAS Faculty Evaluation Procedures*, the Chair/WWAMI Director or Unit Peer Committee may request the faculty to compile a teaching dossier including sample syllabi, homework, projects, quizzes, exams, and other relevant material to include in the review file to establish a basis for evaluating course content and structure. Additional metrics for the **potential for success** in teaching can include a faculty member's list of courses taught, list of graduate students, syllabi, student evaluations, peer-evaluations of classroom teaching (see below), innovative techniques and pedagogies, curriculum development and notable student successes. In addition, the Chair/WWAMI Director (or their designee agreed upon after consultation with the Dean of CAS) may at their discretion observe faculty teaching for the purpose of direct peer evaluation of appropriate and effective teaching methodology, delivery, course content, or other relevant information. The Chair/WWAMI Director (or designee) will subsequently provide the faculty member with a written summary of these observations and any recommendations for improvement. The faculty member should then include the Chair's/WWAMI Director's (or designee's) written summary in the review file (and their response, if any, to this review).

**IDEA Diagnostic Form Reports:** Other data such as IDEA Diagnostic Form Reports in the form of the course numerical summary sheets should be included as part of a faculty member's teaching evaluations. However, caution must presently be exercised in using the student evaluations for a variety of reasons including the adequacy of: a) sample size; b) student response rates; and the c) IDEA course database. Given the recent adoption of the IDEA course assessment tool during at UAA (since Fall 2007), statistical temporal comparisons involving the same faculty teaching the same course(s), different faculty teaching the same course(s), and comparisons of faculty teaching similar courses at other university campuses will not be wholly reliable until about 10-12 semesters of reliable data are accumulated.

Reviewers should exercise care when interpreting numerical scores whenever IDEA results are considered unreliable or do not represent the class as a whole. Moreover, reviewers who rely on mean

IDEA evaluation data as an index/indicator of a faculty member's teaching ability must realize these data are statistically limited to a resolution or accuracy of  $\pm 1.0$ . That is, there are no statistically significant differences between evaluations when mean values fall within an absolute range of 2 evaluation units (that is, between +1 above and -1 below the mean). Attempts to resolve, discern or assign attributes to describe an instructor's teaching as being either "slightly above" or "slightly below" Department, Division, School and/or University for mean values within the limits of statistical reliability are wholly meaningless and a waste of review efforts. However, the IDEA instrument can provide useful indicators of one's teaching when mean values fall outside or within this range. In such instances, the review process should focus on providing faculty constructive advice and recommendations.

Adequate sample size is another issue related to the use of student evaluations as teaching indices or metrics. Evaluations based on 5 or fewer students should also be dismissed, particularly when beginning class sizes are less than 5 (*sensu* IDEA presentation, 4 Sept 2007). Access <http://www.idea.ksu.edu/resources/index.html> for additional information, or the IDEA Center for information on interpreting results: Overview of Student Ratings: Value & Limitations; Using IDEA Results for Administrative Decision-making.

Faculty should not include the written student comment sheets in their review files since, a) submitted comments seldom represent all students in one's class, and b) reviewers have no way of knowing whether the comment sheets were screened for content.

**Mentoring research:** *Mentoring research* is defined as the teaching of research and is properly considered a teaching responsibility. Faculty in the Biological Sciences should mentor and involve undergraduate and/or graduate students and/or postdoctoral scientists in their research. Faculty having research workloads should include any combination of undergraduate students, graduate students and/or postdoctoral scientists in their research programs to produce refereed publications. Metrics of successful mentoring (research) include a faculty member's students garnering competitive scholarships and fellowships, completing their degree, completing Honors and graduate theses, publishing in peer-reviewed literature, delivering presentations at regional, national and international conferences, going on to more professional training, and attaining employment within their field. Mentoring (research) will be judged commensurate with a faculty's research workload.

### **Annual Review of Teaching Prior to Tenure**

Evaluation of the teaching component of faculty workloads (UA\_CBA article 13, UAFT CBA article 5) should follow accepted practice as defined in existing guidelines for faculty review in the applicable CBA and within CAS. Metrics for potential for successful teaching are noted above, and include those indicated for mentoring undergraduate and graduate research. Using all the data in the review file, reviewers should evaluate the faculty for **potential for success** in teaching. This will help build the case for overall potential for success and will help build the case for a recommendation for retention if the data persuade the reviewer that a faculty member displays potential for success in teaching. Reviewers should clearly specify the problem(s) and suggest corrective steps for the faculty member to pursue before his/her next review, assuming difficulties exist.

### **4<sup>th</sup> Year Comprehensive Retention Review:** (to demonstrate **potential for success**)

All UNAC-represented faculty members, regardless of workload assignments, undergoing 4<sup>th</sup> year comprehensive review must meet CAS requisites for teaching as defined in the *CAS Faculty*

*Evaluation Procedures Handbook.* Metrics for potential for successful teaching are noted above, and include those indicated for mentoring undergraduate and graduate research.

### **Review of Teaching for Tenure and Promotion to Associate Professor**

In order to be awarded tenure and to be promoted to Associate Professor, faculty should demonstrate **successful** teaching. This means that any suggestions for improvement made in prior reviews have been acted upon and that reviewers detect no significant difficulties with teaching or research mentoring activities using data available in the review file. Reviewers should specify what information was used in reaching their conclusion.

### **Review of Teaching for Promotion to Professor**

In order for an Associate Professor to be promoted to Professor, the candidate must demonstrate **exemplary** teaching. Reviewers should recall that the rank of Professor is the highest academic rank the University can bestow, so additional material which may lend support to an exemplary evaluation should be included in the file. Such additional material may include (but should not be limited to): teaching awards, letters of commendation from other faculty or students, development of curriculum, development of innovative teaching methods, success at mentoring research by graduate and undergraduate students, and/or other professional recognition of teaching.

## **III(b). General Guidelines-Evaluation of Service**

Evaluation of the service component of faculty workloads should follow accepted practice as defined in existing guidelines for faculty review in the applicable CBA and within CAS. Using all the data in the review file, reviewers should evaluate the faculty for **potential for success** in service. This will help build the case for overall potential for success and will help build the case for a recommendation for retention if the data persuade the reviewer that a faculty member displays potential for success in service. Reviewers should clearly specify the problem(s) and suggest corrective steps for the faculty member to pursue before his/her next review, assuming difficulties exist.

Service includes a combination of departmental, college, university and professional activities, and all faculty members are expected to contribute service at the departmental, college and university levels. Moreover, it is anticipated that Biology faculty will regularly attend and participate in Departmental meetings and committees and to perform other duties consistent with the Bylaws that the Chair/WWAMI Director periodically requests. Reviewers should note professional service of faculty who serve as referees or members of review committees for journals/books/grant proposals/research programs/national level centers and/or experimental facility awards since such activities necessitate substantial time commitments. While such national service is important to one's career and profession, it should not substitute or replace departmental or institutional service.

### **1<sup>st</sup> and 2<sup>nd</sup> Year Retention Reviews: (to demonstrate **potential for success**)**

All faculty members undergoing 1<sup>st</sup> and 2<sup>nd</sup> year retention reviews are expected to demonstrate the **potential for success** in service. Metrics for potential success can include serving on departmental and university committees, reviewing manuscripts submitted to peer-reviewed journals in their

disciplines, reviewing proposals for funding agencies, hosting and/or chairing sessions at scientific meetings, reviewing textbooks.

**4<sup>th</sup> Year Comprehensive Retention Review:** (to demonstrate **potential for success**)

All UNAC faculty members, regardless of workload assignments, undergoing 4<sup>th</sup> year comprehensive review expected to demonstrate the **potential for success** in service. Metrics for potential for success should include a continuing record of service to the Department's academic and professional development, contributions to college and university committees. Other metrics of service with potential for success can include contributions to national service such as reviewing manuscripts submitted to peer-reviewed journals in their disciplines, reviewing proposals for funding agencies, hosting and/or chairing sessions at scientific meetings, reviewing textbooks, and activities related to the faculty member's Profession/Professional Development.

**Review of Service for Tenure and Promotion to Associate Professor**

Faculty members standing for tenure and promotion to Associate Professor are expected to demonstrate **successful** service. The minimum level of successful service required for promotion to Associate Professor should include a strong and continuing commitment to Departmental service as a consensus-builder and team-player in Biology's academic and professional development. Other metrics of successful service can include guiding contributions to the department, college, university and to the faculty member's Profession/Professional Development. These include reviewing manuscripts submitted to peer-reviewed journals in their disciplines, reviewing student presentations, reviewing proposals for funding agencies, involvement in committee assignments for funding agencies, chaired sessions at state and national meetings, hosting sessions at scientific meetings, and reviewing textbooks.

**Review of Service for Tenure and Promotion to Professor**

Faculty members standing for tenure and promotion to Professor are expected to demonstrate **exemplary** service. The minimum level of exemplary service required for promotion to Professor should include a leadership record of significant service as a team-player in the Department's academic and professional development. Other metrics of exemplary service can include leadership contributions to the department, college, university and to the faculty member's Profession/Professional Development. These include reviewing student presentations, reviewing manuscripts submitted to peer-reviewed journals in their disciplines, reviewing proposals for funding agencies, involvement in committee assignments and/or proposal review for significant funding agencies, chaired sessions at state, national and international meetings, hosting sessions at scientific meetings, reviewing textbooks, and/or holding office in one's professional societies.

### **III(c). General Guidelines-Evaluation of Research/Scholarly Activity**

To assist reviewers in ascertaining the faculty member's research/scholarly accomplishments during the review period, the tenured Chair/WWAMI Director may request that the faculty member include copies in his/her review file of all manuscripts that are in preparation, submission/review, in press/accepted for publication, or published. In assessing performance, primary emphasis will be placed on refereed manuscripts; editor reviewed and non-refereed research products are considered to



be a secondary level of research productivity and will not be acceptable as sole criteria for assessing the faculty member's potential for success in the research component of the workload or to determine progress towards promotion and tenure.

The hallmark for demonstrating research success is peer-reviewed publication of one's research results. Therefore, tripartite faculty are expected to publish in the peer-reviewed literature while at UAA. In cases where a new faculty member has research results (conducted elsewhere and prior to hire at UAA) published with a non-UAA affiliation soon after arrival at UAA, that publication will be counted in assessing research productivity. However, reviewers should note that such work does not satisfy any requirement to demonstrate *de novo* research activity while at UAA.

Since research faculty are expected to submit research grant proposals to external funding agencies on a regular basis, the Chair/WWAMI Director may also request that evidence of these submissions be included in the review file. In reviewing funding activity, external competitive grant proposals that are funded will be considered meritorious. In addition to competitive grants from external funding agencies, internal competitive grants, awards of experimental time and collaboration at national labs, observatories, or computing facilities will also be given merit.

In general, faculty undergoing annual review prior to tenure will be expected to demonstrate **potential for success** in research through the documentation in their file. Faculty standing for tenure and promotion to Associate Professor should demonstrate **success** in this workload component. Each discipline has specified the standards for each level of accomplishment. In those cases where a faculty member changes workload categories, (e.g. changes from **3:1:1** to **2:2:1**) research productivity should be judged on a *pro-rated* basis taking into account the time spent in each category.

In order for an Associate Professor to be promoted to Professor, the candidate must demonstrate **exemplary** research productivity beyond the accepted level for the rank of Associate Professor. Exemplary productivity will be measured by a continued rate of success in refereed publications and the maintenance of a successful and active research program that includes funded external grants and/or awards of experimental/computational time at national labs. Each discipline has established appropriate measures for meeting this high standard, keeping in mind that the rank of Professor is the highest rank the University can award to faculty. External reviews must be sought at this stage as indicated in the applicable CBA.

## IV. Evaluation of Research/Scholarly Activity

The Department of Biological Sciences has crafted specific guidelines which apply to its expectations of faculty in research/scholarly activity. These guidelines are in addition to the general guidelines outlined above, and the expected output levels defined below represent *minimum* standards for retention, promotion and tenure.

### **Research in the biological sciences is expected to yield the following products:**

**Refereed publications** and, optionally, **non-refereed publications**.

While individual faculty members may demonstrate capability in research via contributions to both of these categories, productivity must include publishing in refereed journals. Refereed publications in peer-reviewed journals are expected to be derived from work primarily conducted in, or associated

with, the candidate's UAA laboratory; such publications serve as a representation of the faculty member's ability to design, conduct, and mentor novel research at the University of Alaska Anchorage.

Reviewers must recognize and understand the authorship standards in a faculty's specific discipline. It is therefore incumbent on faculty who are being reviewed to definitively explain the *authorship standards associated with their particular disciplines*.

The level of research productivity over a particular interval being reviewed for retention, tenure, and/or promotion will be defined primarily by the number and quality of publications (e.g., impact to the field, number of citations of the work etc). The expected output will be dictated by the workload agreement assigned to the faculty member as well as the faculty member's rank. The projected output levels defined below represent *minimum* standards for retention, promotion and tenure.

### **1<sup>st</sup> and 2<sup>nd</sup> Year Retention Reviews:**

All faculty members undergoing 1<sup>st</sup> and 2<sup>nd</sup> year retention reviews are expected to demonstrate the **potential for success** in research. Metrics for potential success can include manuscripts submitted or published, proposals submitted or funded, students (graduate or undergraduate) and/or post doctoral scientists recruited for research activities in the lab and/or field, and presentations at professional conferences.

### **4<sup>th</sup> Year Comprehensive Retention Review (for UNAC faculty):**

To demonstrate **potential for success** in Research/Scholarly Activity:

A **3:1:1** faculty member undergoing 4<sup>th</sup> year comprehensive review should have at least *one* refereed manuscript accepted for publication as well as at least two additional manuscripts submitted for publication in refereed journals or books derived from work primarily conducted in, or primarily associated with, the candidate's UAA laboratory. Other metrics of success can include presentations at conferences, invited presentations, and submitted/funded proposals to external and internal funding sources as PI or Co-PI.

A **2:2:1** faculty member undergoing 4<sup>th</sup> year comprehensive review should have at least *two* refereed manuscripts accepted for publication as well as at least two additional manuscripts submitted for publication in refereed journals or books derived from work primarily conducted in, or primarily associated with, the candidate's UAA laboratory. In addition, the faculty member should have submitted at least 1 proposal (as PI or Co-PI) to an external funding source. Other metrics of success can include presentations at conferences, invited presentations, and proposals for internal funding sources.

A **1:3:1** faculty member undergoing 4<sup>th</sup> year comprehensive review should have at least *three* refereed manuscripts accepted for publication as well as at least two additional manuscripts submitted for publication in refereed journals or books derived from work primarily conducted in, or primarily associated with, the candidate's UAA laboratory. In addition, the faculty member should have received funding (as PI or Co-PI) from a competitive external funding source. Other metrics of success can include presentations at conferences, invited presentations, and proposals for internal funding sources.

## **Research/Scholarly Activity Criteria for Tenure and Promotion to Associate Professor**

To demonstrate **success** in Research/Scholarly Activity:

**3:1:1:** The minimum research productivity required for promotion to Associate Professor is at least three manuscripts accepted for publication in refereed journals or books during employment by UAA; at least *one* of the manuscripts is expected to be derived from work primarily conducted in, or primarily associated with, the candidate's UAA laboratory. In addition, the faculty member should have 1 competitive external proposal submitted. Other metrics of success can include funded internal competitive awards.

**2:2:1:** The minimum research productivity required for promotion to Associate Professor is at least four manuscripts accepted for publication in refereed journals or books and one submitted during employment by UAA; at least *two* of the manuscripts are expected to be derived from work primarily conducted in, or primarily associated with, the candidate's UAA laboratory. In addition, the faculty member should have 1 competitive external proposal funded.

**1:3:1:** The minimum research productivity required for promotion to Associate Professor is at least six manuscripts accepted for publication in refereed journals or books during employment by UAA; at least *three* of the manuscripts are expected to be derived from work primarily conducted in, or primarily associated with, the candidate's UAA laboratory. In addition, the faculty member should have 1 significant competitive external proposal funded.

## **Promotion to Professor**

Faculty in all workload categories must demonstrate *continuous* and **exemplary** performance in research in order to be promoted to the highest faculty rank of Professor of Biology. All UAA reviewers should examine the faculty member's actual workload category(ies) in evaluating productivity in research and publications produced at UAA, recognizing that UAA has limited research support and infrastructure.\* In addition, consideration must be given to the entire career productivity of the candidate, not limited to time at UAA only.

The rank of Professor is an indication of the stature of the scientist among his/her peers, so evaluation by researchers external to UAA must be sought, where reviewers should weigh both the number and quality (e.g., impact to the field, number of citations of the work etc) of refereed publications produced, plus research funding received, and/or support awarded at national labs over the individual's career to determine whether "exemplary" is warranted. This is very much a professional judgment issue, best left to peers for determination since quality of research can really only be judged by others in the field.

---

\*Reviewers at all levels need to understand and recognize that UAA is a Masters/L Institution (***Carnegie Classification***\*: awards at least 50 master's degrees and fewer than 20 doctoral degrees per year), having limited research support and infrastructure. As such:

- Over the last five years (FY04-09), Biology faculty have garnered a total of \$2.94M representing 11 competitive grants (2 NIH, 9 NSF), which approximates 35% of such grants to CAS.<sup>#</sup>
- Only 4% indirect funding generated through grants is returned to PIs;
- Faculty have limited UAA administrative support pre- and post grant awards;
- A single CAS grant administrator presently manages 68 active grants for around 15 PIs;

- PIs presently do not receive monthly balance statements for their grant accounts;
- Few “full” graduate fellowships through UAA, CAS or Biology are available, besides those limited to EPSCoR and INBRE programs;
- CAS presently provides faculty mentors who chair graduate committees 0.5 workload credits per semester not to exceed 6 semesters for M.S. and/or Ph.D. students; semesters need not run consecutively; workload credits should not exceed an aggregate total of 3 workload credits per faculty member per semester; requests for graduate mentoring that exceed 3 workload credits per semester will be considered for existing or pending grant-sponsored activities, writing proposals and for the preparation and submission of manuscripts.<sup>+</sup>
- CAS presently does not provide any workload support for faculty who are members of a M.S. or Ph.D. student’s thesis/dissertation committee;
- CAS support for faculty mentoring postdoctoral scientists is minimal;
- While CAS strongly favors and encourages undergraduate research, it does not provide workload credit to faculty in support of this endeavor.

\* <http://www.carnegiefoundation.org/classifications/sub.asp?key=748&subkey=13263&start=782>)

# Data through 12 Jan 09, from UAA Office of Sponsored Programs.

<sup>+</sup> CAS Workload Guidelines for the Sciences, April 2008.