

# UNIVERSITY OF KENTUCKY ADMINISTRATIVE REGULATIONS

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3/1/72		

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PROCEDURES FOR THE APPOINTMENT, PROMOTION, GRANTING  
OF TENURE AND TERMINATION OF FACULTY  
IN THE UNIVERSITY SYSTEM

The University of Kentucky and its program can be no greater than the quality and performance of its faculty. The following procedures and criteria offer minimum standards and requirements that should be exceeded in most, if not all, cases. They have been developed solely for the purpose of continually upgrading the quality and performance of the faculty.

I. Appointments

All recommendations for appointment to the University faculty must originate with the department chairman (or with the dean, director or other appropriate administrator in an educational unit not having a department chairman) after due consultation with members of his faculty in accordance with the Governing Regulations. Where disagreement exists between the chairman and members of his faculty concerning a recommendation to appoint, the chairman must report this difference of opinion to his dean with adequate documentation. The appropriate criteria shall form the basis for judgment at all steps of the appointment process.

The precise terms and conditions covering each appointment shall be stated in writing on an official appointment record.

A. Instructors and Assistant Professors

The deans of the colleges have been delegated authority to make appointments, reappointments and terminal reappointments to the ranks of instructor and assistant professor without reference to an Academic Area Advisory Committee. These actions are reported by the dean to the Vice President for Academic Affairs or to the Vice President for the Medical Center.

B. Associate Professors and Professors

All recommendations for full-time appointments at the level of associate professor or above, with or without tenure, shall be supported by a file containing complete vita of the candidate, letters of evaluation from at least three qualified persons outside the University, the written judgment of each consulted member of the department in accordance with the Governing Regulations, a list of publications or comparable expressions of professional output and/or samples of the more significant professional contributions such as journal reprints. The recommendations of the chairman and the dean, with supporting file, shall be forwarded to the appropriate Academic Area Advisory Committee through either the Vice President for Academic Affairs or the Vice President for the Medical Center. A flow chart with further procedural comments is provided at the end of this administrative regulation. The Academic Area

Advisory Committee will make its recommendation back to the appropriate vice president, who will add his recommendation and forward the complete file to the President for his recommendation and subsequent action by the Board of Trustees.

Similar procedures for reappointments and terminal reappointments of non-tenured associate professors will be followed, except review by an Academic Area Advisory Committee will not be required.

C. Faculty, Veterans Administration-University of Kentucky Medical Center

Physicians and dentists, paid in part by the Veterans Administration, whose total efforts are in behalf of the education, research and patient care programs of the Medical Center are considered regular, full-time faculty members of the University of Kentucky with the rights and privileges thereof as set forth by the Governing Regulations and subject to the same administrative policies and procedures governing regular, full-time faculty.

D. Visiting Professors

The designation "visiting" before an academic title indicates that the holder of the title has a limited temporary appointment for an academic year, semester or summer term. The visiting title used should be appropriate to the appointee's home-base position, i. e., visiting professor, visiting associate professor, visiting assistant professor and visiting instructor. Where professorial rank or title does not appear to be suitable, the title "visiting lecturer" should be used. The appointment is made by the appropriate vice president without reference to an Academic Area Advisory Committee. A visiting appointment may be full- or part-time, salaried or unsalaried. The appointment is by definition a temporary one and the visitor is not eligible for faculty benefits, except that those with salaried full-time appointments are eligible for Blue Cross-Blue Shield coverage. The visiting title does not include eligibility for membership in the University Senate. Faculty membership, with or without voting privileges, may be extended a visiting appointee by his educational unit.

E. Part-time Faculty

Occasionally, a person who otherwise would be a voluntary faculty member can give a substantial fraction of his time to a college and that college may need and desire his extensive participation in its program. In such cases, he may be paid a stipend and be classified as a part-time faculty member. Part-time faculty are not eligible for the usual faculty benefits nor for membership in the University Senate. Faculty membership, with or without voting privileges, may be extended to a part-time faculty member by his educational unit.

F. Voluntary Faculty

Voluntary faculty members are those who have an official faculty appointment in a college for which no stipend or salary is received and who devote only a part of their time to a program. Usually such faculty members are engaged

in private practice, but they may hold full-time positions with other institutions and agencies. Voluntary faculty are not eligible for tenure, usual faculty benefits or membership in the University Senate. Faculty membership, with or without voting privileges, may be extended to one of its volunteer faculty by his educational unit.

G. Lecturer

A lecturer is a professionally qualified appointee whose services are contracted primarily for teaching purposes and normally on a part-time basis. The appointment of a lecturer by the appropriate vice president without reference to an Academic Area Advisory Committee may be for one year, or other stated period not to exceed one year, subject to renewal. Tenure will not be gained by an appointee to this title. Lecturers are not eligible for membership in the University Senate, sabbatical leave or University retirement. However, lecturers with full-time appointments are eligible for Blue Cross-Blue Shield coverage. Faculty membership, with or without voting privileges, may be extended to a lecturer by his educational unit.

H. Adjunct Professors

An adjunct professor is a fully qualified research or creative person who is paid more than 50 percent of his salary from a non-University source or a University non-educational unit, but who contributes significantly to teaching and/or research. An adjunct professor will not be granted tenure, faculty retirement and insurance benefits, or sabbatical leave. However, an appointee who is a full-time employee of the University but whose primary assignment is with a non-educational unit is entitled to appropriate retirement and insurance benefits through the non-educational unit. He is entitled to all other University benefits of the regular series. Faculty membership with or without voting privileges may be extended to an adjunct professor by his educational unit.

I. Emeritus Professors

Upon retirement, an administrative officer or tenured faculty member will retain his title with the designation of "emeritus". Personnel with emeritus status are entitled to the following rights and privileges: to be included in faculty lists in University bulletins and, upon request, to be provided mail-boxes in their departments; to be assigned office and/or laboratory space and furnished supplies for creative work (upon request, and subject to their availability and to the approval of the concerned academic unit); to have faculty library privileges; to be eligible to apply for Research Committee grants and publication subsidies; to receive University identification cards; to receive an "A" parking permit for one vehicle without charge; to attend, without voting privileges, meetings of the University Senate; to participate, upon invitation, as a non-voting member of a department or college faculty; to use University



recreation facilities upon presentation of suitable identification; to purchase athletic tickets with previous priority status; to hold membership in the University of Kentucky Credit Union; to make purchases at the University Book Store at the employee discount rate; to receive, upon application and if a member at the time of retirement, a complimentary membership in the University Club; to participate in academic processions; to be appointed to represent the University at academic ceremonies at other institutions; to receive notices of University events; and to take part generally with the faculties in all social and ceremonial functions of the University.

#### J. Named Professorships

Individuals appointed to "named professorships" will meet all criteria for the rank of professor and, in addition, will have acquired national reputation for excellence in instruction and scholarship in the discipline. The named professorship will provide specifically identified resources for program support of a professor and it is expected that a significant portion of the compensation and program support allocations will come from endowment income or extramural gifts.

### II. Promotions

Recommendations to promote must originate with the department chairman (or with the dean, director or other appropriate administrator in an educational unit not having a department chairman) and must include the written opinion of each faculty member of the educational unit who was consulted in accordance with the Governing Regulations. Promotion files must include a complete vita of the candidate, evaluation of his teaching ability, a list of his research publications, patents, writings or other professional output and representative samples of the same. This complete file with a letter of recommendation from the department chairman is forwarded to the dean for his review and recommendation. The dean, after consultation with the appropriate faculty body of the college, shall establish an advisory committee concerned with faculty appointment, termination, promotion and tenure.

Recommendations for promotion and tenure shall include evidence of consultation with the appropriate undergraduate student advisory group and graduate or professional student group. Any written judgments or related materials submitted by the student groups shall be included in the materials submitted in support of a recommendation for promotion and tenure.

#### A. Promotions from Instructor to Assistant Professor

The deans of the colleges have been delegated authority to make promotions from the rank of instructor to assistant professor. Such actions will then be forwarded through the appropriate vice president to the President and the Board of Trustees.



B. Promotions to Associate Professor or Professor

Such promotions will follow the same process as indicated in the preceding introduction and will be cleared through the appropriate vice president to the concerned Academic Area Advisory Committee for its recommendation to the vice president. Promotion files must also include at least three letters of evaluation from qualified persons outside the University. The Area Committee report will be returned to the appropriate vice president, who will add his recommendation and forward the file to the President for his recommendation and subsequent action by the Board of Trustees.

C. Failure to Support a Recommendation for Promotion

Whenever a recommendation to promote is disapproved at any level, this fact must be reported back to the preceding levels with supporting reasons and an opportunity provided for a thorough discussion of the recommendation among the concerned parties.

D. Review Periods

An individual shall not remain as instructor in the University system for more than three years. If after that period promotion to a higher rank cannot be justified, the individual's appointment at the University shall not be renewed. Non-tenure appointments at the assistant professor or associate professor levels shall not exceed seven years, including previous full-time service at the rank of instructor or higher at other institutions of higher learning, except that no more than three years of previous service may be counted against this seven-year probationary period. Reviews shall follow the usual procedures for recommendations to promote and must be completed in time for the individual to be notified of the result in accordance with the Governing Regulations (X-B-4). Assistant professors must either be promoted at the end of the probationary period or shall not have their appointments renewed.

III. Tenure

A. Types of Appointment

Full-time appointments shall be of three kinds: (1) non-tenure appointments; (2) tenure appointments; and (3) post-retirement appointments.

B. Appointment Records

The precise terms and conditions covering each appointment shall be stated in writing on an official appointment record. Notice of reappointment shall be in the possession of the appropriate administrative officials and the appointee as soon as administratively feasible before the renewed appointment begins.

C. Review Periods

Non-tenure appointments may be for one year or for other stated periods, subject to renewal, but the total non-tenure period shall not exceed seven years, including previous full-time service with the rank of instructor or higher in other institutions of higher learning. A faculty member with more than three years in the academic profession, who is called from another institution and appointed at the rank of associate professor or below, may be required to serve in a probationary status for a period not to exceed four years, even though his total probationary period in the academic profession is extended beyond seven years. However, in any case where a period of prior service of a faculty member involves significantly different institutional objectives or significantly different professional activity, all or part of the period of prior service may be eliminated from consideration in determining the non-tenure period at the University of Kentucky. Except as provided in Part X-C-7 of the Governing Regulations, time spent on leave of absence shall count as probationary period service, unless the University in granting the leave and the individual in accepting it agree to the contrary. Individuals initially appointed at the rank of full professor may be given non-tenure status for a period not to exceed one year.

The applicability of prior service to the probationary period of a faculty member in the University System of the University of Kentucky shall be reviewed initially by the prospective or appointed faculty member and the concerned departmental chairman and dean. This review should occur as early as possible, preferably either before and/or during the interviewing of the applicant or soon after the appointment of the applicant as a faculty member. The following questions shall be examined and serve as guidelines in making and considering requests for waiver or elimination of prior service:

(1) Did the institution of prior service have similar expectations regarding formal criteria for promotion as those which prevail at the University of Kentucky? (2) Were teaching and service loads at the institution of prior service arranged in order to assure faculty members adequate time for investigation and scholarly or creative productivity? (3) Were the measurable achievements of the faculty member at the institution of prior service such that they should be counted as part of the achievements to be evaluated by the University of Kentucky in consideration for promotion and tenure? (4) Did the faculty member utilize the same knowledge and skills and have the same career goals at the institution of prior service which he will be applying at the University of Kentucky? and (5) Does employment at the University of Kentucky involve a change of career, and, therefore, a change in the expectations which should be placed upon measurable achievements within a particular period of time?

In any case of prior service involving significantly different institutional objectives or significantly different professional activity, a request that all or part of the prior service be eliminated from consideration in determining the probationary period at the University of Kentucky may be initiated by the prospective or appointed faculty member, the departmental chairman, or the dean. Such a request shall be forwarded by the dean to the appropriate academic vice president. After obtaining a recommendation on the matter from the Prior Service Advisory Committee, the academic vice president shall approve or disapprove the request.

Following appropriate review periods not exceeding in duration those described in the preceding paragraph, all persons of associate professor or higher rank shall be given tenure or shall not have their appointments renewed; all persons of assistant professor rank (or equivalent ranks as adjudged by the President) shall be promoted to associate professor with tenure or shall not have their appointments renewed except in those cases where approval is granted for appointment with tenure in the special title series. Established appointment, promotion and review procedures shall be followed in making these decisions.

An assistant or associate professor with tenure, whose promotion to higher rank has not been considered by an Academic Area Advisory Committee for a period of six years, shall be given an opportunity for such consideration. A recommendation for promotion, either affirmative or negative, shall be initiated by the individual's academic unit and forwarded by the Dean, with his own recommendation, before December 1 of the seventh year, to the Vice President for Academic Affairs or the Vice President of the Medical Center, as appropriate. If either recommendation is negative, the vice president will so advise the individual professor and invite him to furnish vita, reprints and suggested names of references outside the University for the development of a file for submission to his Academic Area Advisory Committee for evaluation. The individual professor, within 60 days of notification, shall reply in writing to the vice president either accepting or declining this opportunity for an evaluation of his file by his Academic Area Advisory Committee. In case of acceptance, the Academic Area Advisory Committee will review and evaluate the file and recommend to the vice president in the usual manner. In case of declination, the provision of another opportunity for consideration of the individual's promotion by an Area Academic Advisory Committee shall not be mandatory until six more years have passed.

D. Notification of Termination of Non-Tenure Appointments

Part-time, visiting or temporary short-term appointments with explicit terminal dates of one academic year or less terminate at the expiration of the term without notice.

For those employed year-to-year on a fiscal or academic year basis, notification of non-renewal of appointment at the end of the first year of service shall be given not later than March 1 if the appointment expires at the end of



that year or three months in advance if the one-year appointment terminates during the academic year. Notification of non-renewal of appointment at the end of the second year of service shall be given no later than December 15 if the appointment expires at the end of the year or six months in advance if the appointment expires during the year. Notification of non-renewal of appointment after more than two years of service shall be given at least 12 months before expiration of the appointment. Notice of non-renewal of appointment of those on post-retirement appointment shall be no less than six months.

In cases where a department's recommendation for reappointment for a specific term is rejected by the dean and a terminal reappointment is offered instead, the following procedure will be employed. If the tenured members of the departmental faculty and the chairman reaffirm their recommendation and so request by majority vote, the appropriate vice president will refer the matter to the appropriate Academic Area Advisory Committee (or an ad hoc advisory committee especially formed for the purpose). The committee in its deliberations will address itself to the scholarly potential of the individual, his ability as a teacher and other professional qualifications indicative of a probable eventual tenure appointment and will submit a written recommendation to the vice president. After considering the committee's report, the vice president will make his recommendation to the President.

It is University policy not to provide written reasons in cases of non-renewal of appointment. However, in any such case upon the faculty member's request, the dean of the college may meet with the faculty member and discuss informally the circumstances surrounding the non-renewal. If this conference fails to satisfy the faculty member, he may further request a related conference with the appropriate academic vice president.

E. Termination of Tenure Appointment or Unexpired Non-Tenure Appointment

1. Reasons for Terminations

Except in cases of financial emergency, the termination of a tenure appointment or the dismissal of a person prior to the expiration of a non-tenure appointment shall, in accordance with KRS 164.230, be only for reasons of "incompetency, neglect of or refusal to perform his duty, or for immoral conduct".

In the instance of termination because of a financial emergency, the faculty member may have the issues reviewed by the University Senate Advisory Committee on Privilege and Tenure with the right of appeal to the President and Board of Trustees. The faculty member shall be given

notice as soon as possible and never less than 12 months' notice. The released faculty member's place shall not be filled by a replacement within a period of two years, unless the released faculty member has been offered reappointment and a reasonable time within which to accept or decline it.

## 2. Procedure

Dismissal of a faculty member with continuous tenure or of a non-tenured member before the end of his specified term of appointment shall be preceded by discussions between the faculty member and an appropriate administrative officer or officers looking toward a mutual settlement. In the event of failure to arrive at an agreed upon settlement, the appropriate academic vice president shall be responsible for the preparation of a reasonably particularized statement of charges which shall be furnished to the faculty member and the University Senate Advisory Committee on Privilege and Tenure. The committee shall make an informal investigation for the purpose of attempting to effect an adjustment and, in the case of failure, to recommend to the President whether, in its opinion, dismissal proceedings should be undertaken. Its opinion shall not be binding upon the President.

If the President initiates dismissal proceedings, the individual concerned shall have the right to be heard initially by a University Senate Hearing Committee (Privilege and Tenure).

The faculty member shall be informed in writing by the President of the specific charges against him at least twenty days prior to the hearing. At least seven days prior to the hearing, the faculty member must answer the charges in writing. The faculty member may waive the hearing. If he waives the hearing, but denies the charges against him or asserts that the charges do not support a finding of adequate cause, the hearing tribunal shall evaluate all available evidence and rest its recommendation upon the evidence in the record.

The committee, in consultation with the President and the faculty member, will exercise its judgment as to whether the hearing should be public or private. During the proceedings the faculty member will be permitted to have an academic advisor and counsel of his choice. At the request of either party or the hearing committee, a representative of a responsible educational association shall be permitted to attend the proceedings as an observer. A full stenographic record of the hearing or hearings will be taken and made available to the parties concerned. The burden of proof that adequate cause exists rests with the institution, and shall be satisfied only by clear and convincing evidence in the record considered as a whole. If the faculty member's competence is in question, the testimony should include that of qualified faculty members from this and/or other institutions of higher education.

Upon the conclusion of the hearing, the committee shall report to the President that adequate cause for dismissal has or has not been established by

the evidence in the record. It may, in addition, recommend that, although adequate cause for dismissal has been established, an academic penalty less than dismissal would be more appropriate, giving supporting reasons for the recommendation. If the President rejects the report, he will state his reasons in writing to the committee and to the faculty member, and provide an opportunity for response before transmitting the case to the Board of Trustees.

A decision adverse to the faculty member may be made only after an opportunity has been given for an additional hearing before the Board of Trustees as required by KRS 164.230. The Board will either sustain the recommendations of the committee and the President or return the proceedings to the President and the committee with specific objections. The committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make the final decision after a study of the committee's reconsideration.

### 3. Suspensions

Until the final decision upon termination of an appointment has been reached, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to himself or others is threatened by his continuance. Before suspending a faculty member, pending an ultimate determination of his status through the hearing procedures, the President will consult with the University Senate Advisory Committee on Privilege and Tenure. Salary will continue during the period of suspension.

### F. Academic Freedom of Non-Tenured Faculty

If a faculty member on a non-tenure appointment or a member on a post-retirement appointment alleges that a decision not to reappoint him was caused by considerations violative of academic freedom, or that he was given less advance notice than that specified in these regulations, his allegations shall be given preliminary consideration by the University Senate Advisory Committee on Privilege and Tenure, which will seek to settle the matter by informal methods. His statement shall be accompanied by a statement that he agrees to the presentation for the consideration of the Senate committees of such reasons and evidence as the University may allege in support of its decision. If the difficulty is unresolved at this stage, and if the committee so recommends, the procedures set forth in E-2 shall be applied, except that the faculty member making the complaint is responsible for stating the grounds upon which he bases his allegations, and the burden of proof shall rest upon him. If he succeeds in establishing a prima facie case, it is incumbent upon those who made the decision not to reappoint him to come forward with evidence in support of their decision.

### G. Resignation

Notice of resignation should be given early enough to obviate serious inconvenience to the University. If a faculty member desires to terminate an existing



appointment, or to decline a renewal in the absence of notice of non-renewal, he shall give written notice of not less than three months if his rank is instructor or assistant professor, and not less than four months if his rank is higher, before the end of his duties during an academic year (exclusive of a summer session) or thirty days after receiving notification of the terms of his appointment for the coming year, whichever date occurs later. However, he may properly request a waiver of this requirement in case of hardship or in a situation where he would otherwise be denied substantial professional advancement.

#### H. Administrative Personnel

Administrative personnel who hold academic rank are subject to the foregoing regulations in their capacity as faculty members. Where an administrator alleges that a consideration violative of academic freedom significantly contributed to a decision to terminate his appointment to his administrative post, or not to reappoint him, he shall be entitled to the same procedures as non-tenured faculty who have alleged violation of academic freedom.

#### I. Graduate Student Academic Staff

In no case shall an appointment of a graduate or teaching assistant be terminated before the end of the period of appointment without the individual being provided with the opportunity to be heard before the University Senate Advisory Committee on Privilege and Tenure.

Likewise, a graduate or teaching assistant who has established a prima facie case to the satisfaction of the committee that a consideration violative of academic freedom significantly contributed to the non-reappointment shall be given a statement of reasons by those responsible for the non-reappointment and an opportunity to be heard by the University Senate Hearing Committee (Privilege and Tenure).

#### J. Opportunities for Hearings

In no case shall a member of the academic staff who is not otherwise protected by the preceding regulations which relate to dismissal proceedings be dismissed (termination before the end of a period of appointment) without having been provided with a statement of reasons and an opportunity to be heard before the University Senate Advisory Committee on Privilege and Tenure.

Likewise, a member of such an academic staff who establishes a prima facie case to the satisfaction of the University Senate Advisory Committee on Privilege and Tenure that a consideration violative of academic freedom significantly contributed to his non-reappointment shall be given a statement of reasons by those responsible for the non-reappointment and an opportunity to be heard by the University Senate Hearing Committee (Privilege and Tenure).

#### K. Change of Assignment

When it is to the best interests of the institution, and if the professional status

of an individual is not seriously jeopardized thereby, a change in the duties assigned to an individual may be made without such a change of assignment being regarded as a violation of his privilege or tenure rights.

#### IV. Criteria of Evaluation for Faculty Appointment and Promotion

##### A. Areas of Activity

Four areas of activity are important in the evaluation of faculty for appointment and promotion: (1) teaching, including both formal classroom activities and informal influence on students' growth; (2) research and other creative productivity; (3) professional status and activity; and (4) University and public service.

Since all appointments and promotions will be made on the basis of merit, a detailed statement on each of these areas will serve as a guide to review committees evaluating the accomplishments of a faculty member. These criteria apply to persons appointed in the regular title series.

##### 1. Teaching and Student Relations

Markedly superior teaching and advising are recognized as distinct values and should be used as evidence for appointment and promotion. Recognition should also be taken of a faculty member's contribution to student welfare through service on student-faculty committees or as an advisor to student organizations.

Objective evidence of the quality of teaching must be obtained and used in the final report. Such evidence should consist of: (1) reports by colleagues qualified in the field; (2) evaluations by students and, if available, graduates; and (3) when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration.

Colleges, working through appropriate University bodies, shall develop some means to evaluate the quality as well as the quantity of academic advising done by each faculty member. As this procedure is developed and implemented, the results of this evaluation shall be considered in the annual performance review and in the decisions concerning retention and/or promotion of each faculty member.

##### 2. Research and Other Creative Productivity

The individual under consideration must show evidence of continuing research or creative activity in his particular field. Normally, publication in whatever form considered appropriate for the field will constitute this evidence. Evaluation of the quality of this publication is imperative, and specialists in the field from both inside and outside the University should be called upon to testify to the value of the individual's research. Since certain types of research or creative work require a longer period of development before publication than do others, evaluation should also be made of work in progress, particularly in cases where retention is involved. It should be understood that

in certain activities, "publication" as used in this document may be achieved in modes different from those of the sciences and the book-based disciplines.

### 3. Professional Status and Activity

The demonstration that the abilities of the individual under consideration are recognized outside the University is important in evaluation, but it must be understood that such recognition must be weighted according to rank. Obviously, a candidate for the lowest rank will not be likely to have achieved wide recognition. There are many ways in which extramural recognition may be evidenced, and those entrusted with evaluation will use the kind of evidence appropriate to their fields. Qualitative rather than quantitative judgments should be made.

### 4. University and Public Service

Effective participation in activities appropriate to the formation of educational policy and faculty government, and effective performance of administrative duties are to be taken into consideration in the evaluative process. A service component is a normal part of a faculty member's obligation to the University.

Service to the community, state and nation must also be recognized as positive evidence for promotion, provided that this service emanates from the special competence of the individual in his field and is an extension of his role as a scholar-teacher. Public service unrelated to this role does not constitute evidence for appointment, promotion or a merit increase.

## B. Balance and Intellectual Attainment

A major consideration in any appointment or promotion which carries tenure must be superior achievement in the various activities discussed in the preceding paragraphs. While the proportion of these activities may vary in terms of the individual's assignments and his specialty, it must be recognized that superior intellectual attainment is evidenced both by the quality of the individual's teaching and the quality of his research or other creative activity. Ideally, individuals selected for the tenure ranks should demonstrate superiority in all of the major criteria discussed here, and while special circumstances may cause the weight of emphasis on each to vary, care must be taken to insure that outstanding performance in a single activity does not obliterate the other factors that should be considered in evaluating academic excellence.

## C. General Criteria for Ranks

Although it would be impossible to specify the exact criteria for judging an appointment or promotion to any one particular rank, a few general statements are made as guides to review committees.

### 1. Assistant Professor

Appointment or promotion to the rank of assistant professor should be made



when it has been determined that the individual has a current capability for good teaching, research and University service and a potential for significant growth in these areas, and the terminal degree appropriate to his field.

2. Associate Professor

The promotion to associate professor should be made only after an indication of continuous improvement and contribution of the individual both in teaching and research or other creative productivity. Furthermore, the individual should have earned some regional recognition for excellence in his field.

3. Professor

A promotion to the rank of full professor is an indication that in the opinion of colleagues, this individual is outstanding in teaching and in research or other creative productivity and has earned national and perhaps international recognition. It should be further stressed that this rank is a recognition of attainment rather than of length of service.

V. Criteria for Classifying University of Kentucky Faculty in a Professorial Series for Those Involved in the Extension or Applied Activities of Their Discipline On or Off Campus

The Special Title Series for Extension consists of: (1) assistant extension professor; (2) associate extension professor; and (3) extension professor.

This classification procedure has been established to provide a system of evaluation and promotion for those University faculty whose primary assignment is to one of the University extension programs serving the citizens of the Commonwealth.

A. Criteria for Ranks

1. Assistant Extension Professor

In order to qualify for appointment in this series, a candidate must hold the terminal degree appropriate to his field, plus certification where required in the field. Further, a candidate must be judged to possess the essential teaching and organizational skills prerequisite to successful development and administration of a University service program and show evidence of potential for future professional growth.

2. Associate Extension Professor

In addition to meeting the criteria for assistant extension professor, appointment or promotion to the rank of associate extension professor shall be based upon

- a. Evidence of professional development on a state and regional basis as indicated by such factors as:

- (1) Leadership
  - (2) Participation in professional organizations
  - (3) Requests to serve as consultant, advisor or expert participant
  - (4) Recognition for outstanding service in the field of specialization
- b. Demonstration of substantial instructional and organizational skills in the specialization as evidenced by such achievements as:
- (1) Development of training or instructional programs
  - (2) Preparation of public information materials
  - (3) Publication of useful and creative articles in professional journals
  - (4) Generation and dissemination of new knowledge and data through such activities as evaluation and interpretation of research, conducting demonstrations, surveys and other field activities
  - (5) Development of new concepts, designs, systems or procedures useful in the specialization
- c. Demonstration of significant contribution of service to the University and community.

Application of the above criteria should be weighted in terms of the individual's assignment.

### 3. Extension Professor

Promotion or appointment of an individual to the rank of extension professor, in addition to meeting the criteria mentioned above, is based on continued broad professional growth and distinguished achievement in his particular assignment. The required level of performance is defined by:

- a. Outstanding leadership and service to the profession as evidenced by regional and national recognition
- b. Innovative and effective approaches to the problems in his field
- c. National recognition in teaching, planning and development of programs
- d. Substantial achievement as a scholar in his field as measured by mode of publication suitable to his specialty and maintenance of contact with and development and application of new knowledge relevant to his specialty

### B. Appointment Procedure

All recommendations for appointment, reappointment or terminal reappointment in the Special Title Series for Extension shall be initiated by the chairman of the department to which the individual is assigned (or by the appropriate dean if the individual has no departmental affiliation). Each recommendation shall consist of a file which includes a complete vita of the appointee together with:

1. Letters of evaluation and recommendation from the subject matter department chairman and all other superior officers within the college who will be directly involved in administering the appointee's program of work.
2. Letters of evaluation and recommendation from members of the educational unit who were consulted in accordance with the Governing Regulations.
3. At least three letters of evaluation from qualified persons outside the University.
4. Recent faculty performance evaluations, if available.
5. A list of professional publications together with recent samples, programs and teaching materials.

This complete file is forwarded to the dean of the college where the review and recommendations procedures shall be those followed for regular academic appointments.

#### VI. Special Title Series Appointments

##### A. Introduction

The University requires the services of professionally competent people in certain selected areas to meet the teaching and service responsibilities for those areas whose endeavors do not include research or creative work. To meet these requirements effectively and to be competitive in the manpower market, a "Special Title" professional series is established as defined below.

##### B. Definition and Illustration

1. The Special Title series shall be a professional series paralleling, above the rank of instructor, the regular series. To be appointed or promoted to the rank of Professor (or Assistant or Associate Professor) of Applied Music, Clinical Medicine, etc. --the Special Title series--an individual shall be judged by the criteria appropriate and approved for the special position.
2. To establish Special Title positions and criteria, the initiating department shall prepare a document, to be approved by the dean of the college concerned and by the appropriate vice president, which will:
  - a. Demonstrate the need for such a position
  - b. Suggest an appropriate descriptive title
  - c. Propose criteria for appointment and promotion to each of the three ranks within the title series
3. The proposed criteria will be referred to an appropriate Academic Area Advisory Committee for evaluation and revision.



C. Appointment, Promotion, Tenure and Review Criteria and Procedure

1. Persons appointed or promoted to a Special Title series rank shall be reviewed in a like manner to those of the regular series. However, the special needs of the position shall be taken into consideration. This series is not intended to serve as a means for appointing or promoting, in the regular disciplines, individuals who are unable to qualify for appointment or promotion because of demonstrated lack of research competence.
2. Promotion to the associate professor or professor ranks in the Special Title series does not automatically qualify a person for membership in the Graduate Faculty.
3. Before an individual can be recommended for appointment or promotion in the Special Title series, the position must already have been approved.

D. Conditions and Benefits of Employment

1. Appointment to a Special Title position will not normally imply a specific responsibility to engage in research.
2. In all other respects, the conditions and benefits of employment will be the same in the Special Title series as in the regular series.

VII. Appointment, Promotion and Tenure of Librarians

A. Appointment

1. The Director of Libraries, acting with the approval of the Vice President for Academic Affairs, shall make appointments to the ranks of Librarian IV and III, subject to the criteria set forth below. Recommendations for appointment to the ranks of Librarian II and I shall be made to the Vice President for Academic Affairs by the Director of Libraries after consultation with appropriate members of the library staff.
2. All librarians shall have earned an A.B. or B.S. degree, or its equivalent, and a graduate (fifth year) degree in library science. Upon recommendation of the Director of Libraries, relevant experience or a master's degree in a field other than library science may be substituted for the degree in library science.
3. Persons appointed to the rank of Librarian III shall, in addition to the provisions of A-2, have had at least three years of successful experience. Upon recommendation of the Director of Libraries, graduate study, in addition to that specified in A-2, may be substituted for part or all of the three years of practical experience.
4. Appointees to the rank of Librarian II and I shall, in addition to the provisions of A-2, have had not less than five years of successful experience.

Additional experience may be required if such training is appropriate to the position. They shall also have demonstrated subject specialization, supervisory or administrative ability where such abilities are appropriate to the position. A master's degree or a doctorate in a subject field may be taken as evidence of subject specialization.

#### B. Promotion

1. Promotion from the rank of Librarian IV to Librarian III shall be made by the Director of Libraries after consultation with the appropriate assistant director and department head and with the approval of the Vice President for Academic Affairs. Promotion shall be in accordance with the criteria and time limits set forth below.
2. Recommendations for promotion from Librarian III to Librarian II and Librarian II to Librarian I shall be made by the Director of Libraries to the Vice President for Academic Affairs after consultation with an appropriate advisory committee. The criteria and time limits set forth below shall be taken into consideration.
3. An individual shall not remain at the rank of Librarian IV for more than five years. If, after that period, promotion to Librarian III cannot be justified, employment as a librarian shall not be renewed. In granting promotion to the rank of Librarian III, the annual written faculty performance reviews shall be taken into consideration. These reviews shall be conducted in terms of criteria appropriate to the person's assigned duties but with attention given to his general professional development and activities and any research and/or publication which may have been done as well.
4. Promotion from Librarian III to Librarian II and from Librarian II to Librarian I shall be based upon faculty performance and professional development. The individual must have achieved recognition in his field in a mode appropriate to his specialty. In addition to demonstrated performance and ability, the candidate shall have had at least five years of library-related experience and been granted tenure either as a Librarian III or at the time of his promotion to Librarian II. In no case shall the assignment of administrative duties be a requirement for promotion to the rank of Librarian II or Librarian I.

#### C. Reappointment and Tenure

1. The rank of Librarian IV shall be non-tenured and the appointment shall be for one year, or other stated period, subject to annual renewal for a maximum of five years (see B-3). The annual renewal shall be based upon a satisfactory written faculty performance review.
2. Persons holding the rank of Librarian III shall have non-tenured one-year appointments, subject to renewal upon review. The criteria for review

shall be as set forth in B-3 but with more weight being given to professional growth and development. The total non-tenured service period of a Librarian III shall not exceed seven years, including previous full-time service as a professional librarian at another institution or as a Librarian IV.

3. Tenure shall not be automatic with any rank but shall be earned by satisfactory service during the seven-year probationary period.
4. At any time deemed appropriate during the seven-year probationary period, tenure may be granted to a Librarian III by the usual procedure of recommendation to the Vice President for Academic Affairs by the Director of Libraries with the advice of an appropriate advisory committee. In order to receive tenure the individual must have achieved recognition in his work in a mode appropriate to his specialty.
5. In a case of a librarian with more than three years of experience who is appointed as Librarian II or below, it may be required that he serve on a probationary status for a period not to exceed four years. Individuals initially appointed at the rank of Librarian I may be given non-tenured status for a period not to exceed one year.

#### D. General Considerations

1. The terms of employment shall be set forth in the Notice of Appointment.
2. An annual review of each staff member's performance shall be conducted by the Director of Libraries. He shall call for a written report from the staff member's department head or supervisor. The review shall be conducted in terms of criteria appropriate to the staff member's grade, but with particular attention given to assigned duties, as well as to general professional development, participation in professional activities and any research and/or writing which may have been done.

#### E. Conditions of Employment

1. Appointees to the various grades of librarians are eligible for sabbatical leave in accordance with stated University sabbatical leave policies, for participation in the University Retirement System on the same basis as faculty members of equivalent rank and for other appropriate benefits and privileges available to faculty members of equivalent rank.
2. Librarians are eligible for membership in the University Senate under established procedures.
3. Appointment as a librarian will not normally imply a specific major responsibility to engage in research and writing.
4. Librarians are eligible to apply for research grants as a principal investigator if permitted by the granting authority, subject to the approval of the



### VIII. Adjunct Series

#### A. Definition

1. The phrase "Adjunct Series", used parenthetically, modifies professorial titles and designates fully qualified research or creative personnel who are employed by a non-University agency, or a University non-educational unit, but contribute significantly to teaching and/or research. The President, upon recommendation and advice from the appropriate Academic Area Advisory Committee, shall approve the establishment of all positions to be filled by appointments to titles in this series. Approval shall include an appraisal of the level of teaching to be performed in the position.
2. (Adjunct Series) may be used to modify regular or special professorial titles, e. g., Associate Professor of Medicine (Adjunct Series), Associate Professor of Clinical Medicine (Adjunct Series), but it will not be employed unless the individual's salary is defrayed from non-University funds or from funds from a University non-educational unit to the extent of more than 50 percent.

#### B. Terms of Appointment

Normal periods of service are the same for corresponding ranks in the professorial series. Tenure will not be granted an appointee in this series. The terms of an appointment shall be noted in the employment record.

#### C. Appointment and Promotion Procedures and Criteria

Procedures for appointment and promotion to titles in this series are the same as those for the professorial series. Criteria for appointment and promotion shall parallel those established for the professorial title assigned, except that appraisal of the candidate shall take into account, as appropriate, a heavier work load in assigned responsibilities. Promotion to the associate professor or professor ranks does not automatically qualify a person for membership in the Graduate Faculty.

#### D. Conditions of Employment

An appointee to a title in this series is eligible for all benefits of the regular series except tenure, faculty retirement and insurance benefits, and sabbatical leave. However, an appointee who is a full-time employee of the University but whose primary appointment is with a non-educational unit is entitled to appropriate retirement and insurance benefits through the non-educational unit.

### IX. Academic Area Advisory Committees

#### A. Purpose

The Academic Area Advisory Committees are established for the purpose of providing the President with a systematic and broad base of advisement from both faculty and administration on matters of appointment, promotion and tenure.

B. List of Academic Area Advisory Committees

1. Biological Sciences
2. Humanities and Arts
3. Physical and Engineering Sciences
4. Social Sciences
5. Medical Center Clinical Sciences
6. Extension Title Series
7. Other Professions

C. Composition of Academic Area Advisory Committees

The membership of each Academic Area Advisory Committee will consist of no fewer than five members appointed by the President from a list of candidates provided by the Senate Council. The list shall include at least twice as many names as there are vacancies. Members will be full professors who will serve two-year terms, which will be staggered to insure continuity of membership, the President designating the chairman of each committee.

D. Selection of Committee Members

The membership of the committee should have as broad a representative as possible from the departments and colleges it serves. No department shall be represented by more than one person. Membership on Area Committees shall be rotated among departments so that over a period of years all departments shall be represented. Any Area Committee may recommend that the appropriate vice president appoint ad hoc committees to handle cases requiring additional and expert advice from people well qualified in the particular discipline involved. Ad hoc committees will be discharged as soon as their reports are submitted to the Area Committees. The Area Committees should acknowledge the advice of the ad hoc committees in preparing their recommendations to the appropriate vice president.

E. List of Departments and Colleges Assigned to the Several Academic Area Advisory Committees

Biological Sciences

Agronomy  
Anatomy  
Animal Pathology  
Animal Sciences  
Anthropology (biological phase)  
Biochemistry  
Botany  
Cell Biology

Entomology  
Forestry  
Health, Physical Education and Recreation (biological phase)  
Horticulture  
Materia Medica  
Microbiology  
Nutrition and Food Science (biological phase)  
Pharmaceutical Chemistry  
Pharmacology  
Pharmacy  
Physiology and Biophysics  
Plant Pathology  
Psychology (biological phase)  
Zoology

Humanities and the Arts

Architecture (art phase)  
Art  
Classical Languages and Literature  
English  
French Language and Literature  
Germanic Languages and Literatures  
History  
Home Economics (art and design phase)  
Journalism  
Music  
Philosophy  
Telecommunications  
Theatre Arts  
Slavic and Oriental Languages and Literatures  
Spanish and Italian Languages and Literatures  
Speech

Medical Center Clinical Sciences

Allied Health Professions  
Dentistry  
Medicine  
Nursing  
Pharmacy

Physical and Engineering Sciences

Agricultural Engineering  
Architecture (mechanical phase)  
Chemical Engineering  
Chemistry  
Civil Engineering  
Computer Science



Electrical Engineering  
Engineering Mechanics  
Geology  
Mathematics  
Mechanical Engineering  
Metallurgical Engineering and Material Sciences  
Physics and Astronomy  
Statistics

Social Sciences

Accounting  
Administration and Supervision  
Agricultural Economics  
Anthropology (social phase)  
Behavioral Science (social phase)  
Business Administration  
Community Medicine (social phase)  
Curriculum and Instruction  
Economics  
Educational Psychology and Counseling  
Geography  
Health, Physical Education and Recreation (social phase)  
Higher and Adult Education  
Home Economics (business and behavioral science phases)  
Law  
Political Science  
Psychology (social phase)  
Rural Sociology  
Social and Philosophical Studies  
Sociology  
Special Education  
Vocational Education

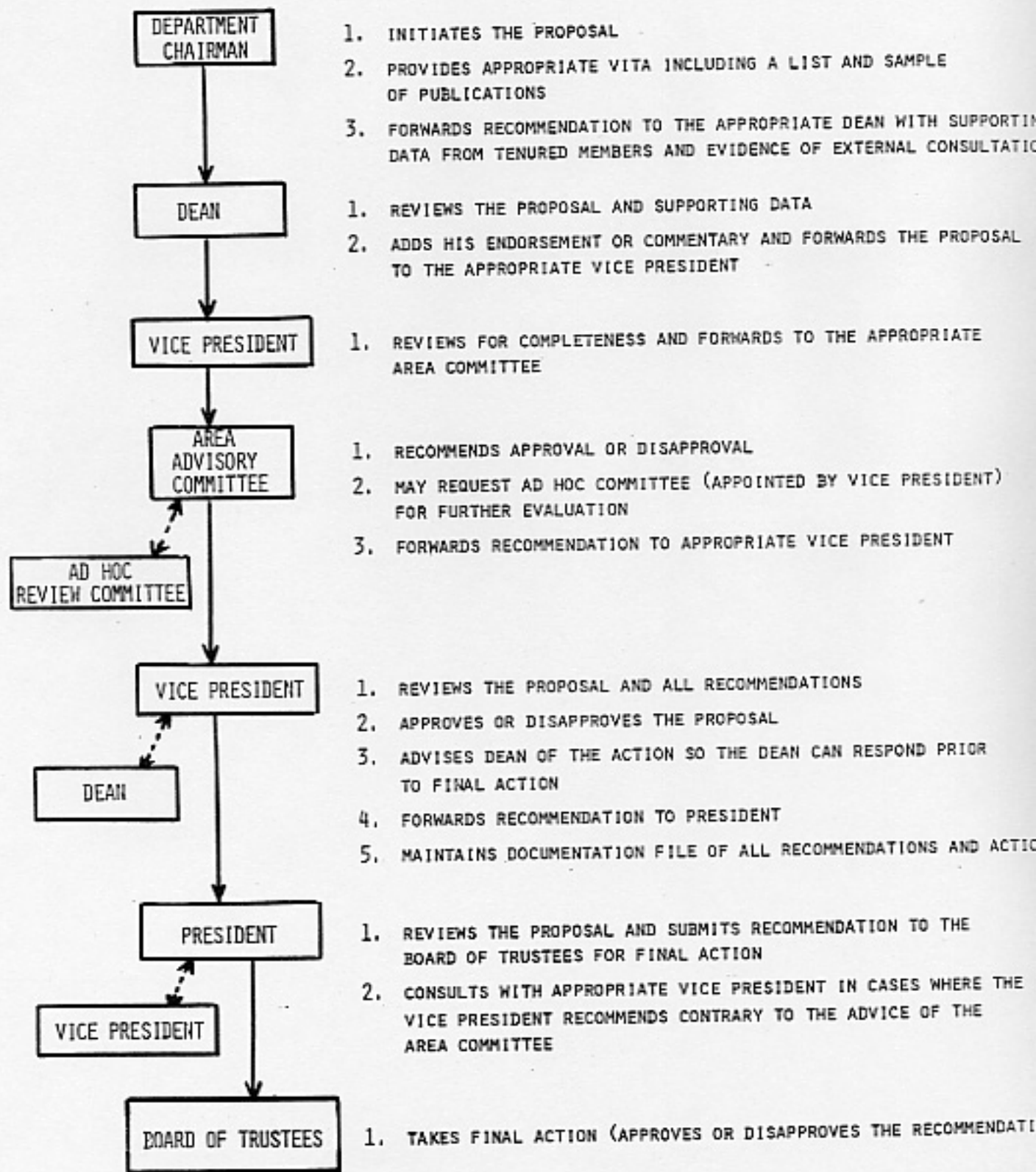
Other Professions

Home Economics (College of)  
Architecture (College of)  
Library Science (College of)  
Social Professions (College of)

Extension Title Series

X.

PROCEDURAL FLOW CHART FOR  
ACADEMIC APPOINTMENT, PROMOTION, GRANTING OF TENURE AND TERMINATION  
FOR THE  
DIVISION OF COLLEGES AND THE MEDICAL CENTER



the evidence in the record. It may, in addition, recommend that, although adequate cause for dismissal has been established, an academic penalty less than dismissal would be more appropriate, giving supporting reasons for the recommendation. If the President rejects the report, he will state his reasons in writing to the committee and to the faculty member, and provide an opportunity for response before transmitting the case to the Board of Trustees.

A decision adverse to the faculty member may be made only after an opportunity has been given for an additional hearing before the Board of Trustees as required by KRS 164.230. The Board will either sustain the recommendations of the committee and the President or return the proceedings to the President and the committee with specific objections. The committee will then reconsider, taking into account the stated objections and receiving new evidence if necessary. The Board of Trustees will make the final decision after a study of the committee's reconsideration.

### 3. Suspensions

Until the final decision upon termination of an appointment has been reached, the faculty member will be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to himself or others is threatened by his continuance. Before suspending a faculty member, pending an ultimate determination of his status through the hearing procedures, the President will consult with the University Senate Advisory Committee on Privilege and Tenure. Salary will continue during the period of suspension.

### F. Academic Freedom of Non-Tenured Faculty

If a faculty member on a non-tenure appointment or a member on a post-retirement appointment alleges that a decision not to reappoint him was caused by considerations violative of academic freedom, or that he was given less advance notice than that specified in these regulations, his allegations shall be given preliminary consideration by the University Senate Advisory Committee on Privilege and Tenure, which will seek to settle the matter by informal methods. His statement shall be accompanied by a statement that he agrees to the presentation for the consideration of the Senate committees of such reasons and evidence as the University may allege in support of its decision. If the difficulty is unresolved at this stage, and if the committee so recommends, the procedures set forth in E-2 shall be applied, except that the faculty member making the complaint is responsible for stating the grounds upon which he bases his allegations, and the burden of proof shall rest upon him. If he succeeds in establishing a prima facie case, it is incumbent upon those who made the decision not to reappoint him to come forward with evidence in support of their decision.

### G. Resignation

Notice of resignation should be given early enough to obviate serious inconvenience to the University. If a faculty member desires to terminate an existing



appointment, or to decline a renewal in the absence of notice of non-renewal, he shall give written notice of not less than three months if his rank is instructor or assistant professor, and not less than four months if his rank is higher, before the end of his duties during an academic year (exclusive of a summer session) or thirty days after receiving notification of the terms of his appointment for the coming year, whichever date occurs later. However, he may properly request a waiver of this requirement in case of hardship or in a situation where he would otherwise be denied substantial professional advancement.

#### H. Administrative Personnel

Administrative personnel who hold academic rank are subject to the foregoing regulations in their capacity as faculty members. Where an administrator alleges that a consideration violative of academic freedom significantly contributed to a decision to terminate his appointment to his administrative post, or not to reappoint him, he shall be entitled to the same procedures as non-tenured faculty who have alleged violation of academic freedom.

#### I. Graduate Student Academic Staff

In no case shall an appointment of a graduate or teaching assistant be terminated before the end of the period of appointment without the individual being provided with the opportunity to be heard before the University Senate Advisory Committee on Privilege and Tenure.

Likewise, a graduate or teaching assistant who has established a prima facie case to the satisfaction of the committee that a consideration violative of academic freedom significantly contributed to the non-reappointment shall be given a statement of reasons by those responsible for the non-reappointment and an opportunity to be heard by the University Senate Hearing Committee (Privilege and Tenure).

#### J. Opportunities for Hearings

In no case shall a member of the academic staff who is not otherwise protected by the preceding regulations which relate to dismissal proceedings be dismissed (termination before the end of a period of appointment) without having been provided with a statement of reasons and an opportunity to be heard before the University Senate Advisory Committee on Privilege and Tenure.

Likewise, a member of such an academic staff who establishes a prima facie case to the satisfaction of the University Senate Advisory Committee on Privilege and Tenure that a consideration violative of academic freedom significantly contributed to his non-reappointment shall be given a statement of reasons by those responsible for the non-reappointment and an opportunity to be heard by the University Senate Hearing Committee (Privilege and Tenure).

#### K. Change of Assignment

When it is to the best interests of the institution, and if the professional status