



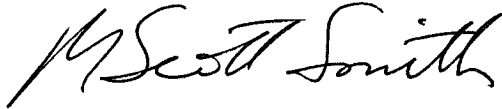
UNIVERSITY OF KENTUCKY

Office of the Provost

105 Main Building
Lexington, KY 40506-0032
(859) 257-2911
Fax: (859) 257-1333
www.uky.edu

M E M O R A N D U M

To: Deans, Chairs, School Directors, Division Chiefs, Division Directors, and
Graduate Center Directors

From: M. Scott Smith 
Interim Provost

Subject: Procedures for Faculty Appointment, Reappointment, Promotion and Tenure

Date: August 26, 2005

The effectiveness of the University of Kentucky depends upon the quality of its faculty. We continually strive to hire, retain, promote, and tenure the best possible faculty, and you play the most important role in recruiting, evaluating, and retaining these faculty. The evaluation process, particularly as it relates to promotion and tenure, is a crucial event in the life of a faculty member and in the life of the University. It is important that each faculty member be fully informed about the promotion and tenure process.

For the upcoming fiscal year 2005-2006, I will ask that you take the following actions:

- Please share this memorandum with each faculty member who is a candidate for appointment, promotion, and/or tenure.
- Please send it to each faculty member who is scheduled for a promotion and/or tenure review in the next fiscal year. You may also wish to share it with those who are a year or two away from such a review, recognizing that certain changes could occur along the way.
- Please also post this memorandum in the college office and in departments.
- Please ensure that you, as the unit administrator, explain the process to each faculty member. The more we can demystify this process the better the University will be in providing an environment for faculty to assume their individual responsibilities to meet the institution's standards and expectations. An excellent university rigorously applies its standards for teaching, research, and service to its faculty candidates.

The following requirements, guidelines and procedures regarding dossiers, review processes for appointments, promotion and tenure, and relevant schedules for reviews and notifications will be in effect for 2005-06.

A. SUBMISSION OF DOSSIERS

A dossier for a faculty member must be submitted in support of [1] an initial, full-time appointment in all title series; [2] a promotion to the rank of associate professor or professor with or without tenure; or [3] the granting of tenure if separate from a simultaneous promotion process. These cases, except joint appointments, appointments of voluntary faculty, appointments at the level of instructor or assistant professor, or appointments as lecturers require the advice of the appropriate academic area advisory committee. Less extensive documentation is required to accompany recommendations concerning other faculty personnel actions as indicated below and in AR II-1.0-1.

Dossiers are assembled within the educational unit and submitted to the dean of the faculty member's college. The dean may approve or disapprove proposals relative to lecturers, senior lecturers, visiting faculty, instructors, assistant professors, post-retirement appointments, appointments on a fee schedule basis, and part-time faculty appointments. The Provost's approval is needed for an appointment as lecturer, senior lecturer, or any appointment in the Visiting Title Series.

Board of Trustees approval is required for an initial faculty appointment at an annual salary or annual anticipated remuneration (AAR) exceeding \$100,000.

Dossiers must be forwarded to the following individuals for the colleges listed below. The process for handling and evaluating these proposals will be identical regardless of which office handles the processing. Each office will provide an appropriate room where the dossiers can be stored and evaluated by various committees.

It would be advisable for colleges to retain a duplicate copy of a dossier.

Margaret Leach, Room 18, Main Building

- Arts and Sciences
- Agriculture
- Business and Economics
- Communications and Information Studies
- Design
- Education
- Engineering
- Fine Arts
- Graduate School
- Law
- Libraries
- Social Work

Charlotte Baker, Room MN149, College of Medicine

- Dentistry
- Health Sciences
- Medicine
- Nursing
- Pharmacy
- Public Health

B. JOINT APPOINTMENTS

When a faculty member holds an appointment within two or more units, one of the areas is designated as the primary appointment. Tenure may be awarded only in the area of primary appointment, typically a department or a graduate center. Appointment, promotion, and tenure procedures for secondary, joint appointments are the same as those for the primary appointment. Each joint appointment must be evaluated and processed separately, but such appointments do not require review by an academic area committee. A dean's recommendation on joint appointments to the Provost must include: [1] the candidate's up-to-date curriculum vitae; [2] letters from at least the tenured faculty of the department or graduate center where the candidate will have a proposed secondary appointment and from the full-time, tenure-track faculty who have been appointed in the educational unit for two years; [3] letters from the chairs or directors of the primary and proposed secondary departments or graduate centers; and [4] letters from the deans and/or graduate center directors where the faculty member holds primary and secondary appointments, if the appointment bridges two colleges and/or graduate centers.

C. SCHEDULE FOR SUBMISSION OF DOSSIERS

Faculty promotion and tenure dossiers should be submitted by the deans to one of the above offices as early as possible.

For colleges under Margaret Leach, all promotion dossiers must be delivered by January 16, 2006. Preparation of dossiers and solicitation of outside letters must therefore take place in the fall semester. Any deviation from this schedule will require approval from the Provost or Associate Provost for Academic Affairs.

Colleges under Charlotte Baker are requested to submit as many dossiers as is feasible by this same date but since the hiring patterns in the Medical Center differ from those on the north campus, dossiers will be considered on a "rolling" basis.

D. NOTIFICATION OF FACULTY

An untenured faculty member in the first year of service must be notified of non-renewal of appointment by March 1 for appointments ending June 30 or three months in advance if the appointment ends at some other point during the academic year. The corresponding deadline in the second year of service is December 15 for appointments ending June 30 or six months in advance if the appointment ends at some other point during the academic year. After two years of service, twelve-month's notice must be given (AR II-1.0-1, Section IV.B).

If a dean decides not to recommend the award of tenure to an assistant or associate professor in the next-to-last year of probation, the dean shall notify the faculty member of this decision in writing before the end of the sixth or next-to-last year of the individual's probationary period. A full professor in a one-year probationary period must be notified in writing of the dean's decision not to recommend tenure no later than March 1 if the individual's probationary period expires at the end of the academic or fiscal year or three months in advance if the probationary period terminates during the year (AR II-1.0-1, Sections III.G and III.H).

E. RULES AND GUIDELINES

In addition to the foregoing, the following rules and guidelines should be observed. Further details may be found in Administrative Regulation AR II-1.0-1. Separate sections of this Regulation are devoted to the Regular Title Series, the Extension Title Series, the Special Title Series, the Research Title Series, the Clinical Title Series, the Librarian Series, and the Adjunct Title Series.

NEW REGULATIONS

I call your attention to an important change in the Governing Regulations (GR VII, Page VII-7 under “Faculties of Department”) as quoted below. If statements describing appropriate evidences of activity have been adopted by a Faculty and approved by the Dean, these must be appropriately documented and fully considered in the dossier.

“(c) Department Faculty Functions”

Within the limits established by these *Governing Regulations*, the *Administrative Regulations*, *University Senate Rules*, *Rules of the Graduate Faculty*, or the rules of the faculties of the school or college of which the department is a part, the department faculty has jurisdiction over matters concerning its educational policies.

The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs, and service functions. Jointly with the department chair, the department faculty shall establish procedures to be used within the department concerning (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint; (2) the faculty performance evaluations and (3) preparation of budget requests. The procedures in (1) and (2) above shall include consultation with directors of multidisciplinary research centers and institutes for those faculty members who are or shall be associated with such centers or institutes. The department faculty may develop statements describing the evidences of activity in instruction, research and service that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. If developed and approved by the department faculty, those statements must be submitted by the chair of the department to the dean for review and final approval before the statements are made operative in the department. Revisions to a department’s statements, upon approval of the department faculty, must also be submitted by the department chair to the dean for review and final approval.

The academic or scholastic requirements of a department may exceed, but not be lower than, those of the school and/or college of which the department is a part. The University Senate must approve any such differences in standards.”

[1] SIX-YEAR RULE

Tenured assistant or associate professors whose credentials have not been considered for promotion by an academic area committee for six years are entitled to such review. Eligible

faculty should request this consideration in writing by October 1 of the seventh or subsequent year. If the faculty member makes such a request, the chair must forward a recommendation to the dean. The dean must make a recommendation to the Provost by January 11 (AR II-1.0-1, Section III.G). It is important that tenured faculty members eligible for such consideration be made aware of this opportunity by their chair, division chief or graduate center director.

[2] PREPARATION OF DOSSIER

The chair, division chief or graduate center director is responsible for the preparation of the complete dossier. It is imperative that the dossier make a convincing case for promotion and/or tenure. The academic area committee members and others who review these files may not know the candidate under consideration, and the recommendation or decision will be made on the basis of the written materials provided. A worthy candidate should not fall victim to a poorly prepared file. The general requirements of a dossier are described in AR II-1.0-1, Section III.D. The dossier should contain a description of the procedures used at the department level in the appointment, promotion and/or tenure process. Reappointments do not require a dossier but a description of the department-level reappointment process should be on file in the department.

The following sections of this document may assist you in constructing the documentation necessary to make persuasive cases for promotion or tenure.

[3] OUTSIDE LETTERS

The regulations state that outside letters shall be obtained by the department chair in part from and in part independent of suggestions of the individual being considered (AR II-1.0-1, Section III.D). Although no specific number of outside letters is stipulated in the Administrative Regulations, we recommend a minimum of six outside letters of which four should be from individuals not suggested by the candidate. The number of letters may vary if the candidate's training was at the University of Kentucky or if the number of potential, outside reviewers is limited because of the candidate's disciplinary interests.

In cases involving the appointment of a faculty member already holding tenure at the rank of Professor at a research-oriented university, three letters solicited by the chair will be sufficient. The file must indicate which were suggested by the candidate and which were selected independently. Letters from a candidate's major professor, research advisor, former students or postdoctoral fellows, or close friends carry less weight than those written by independent reviewers. Letters from independent scholars at research-oriented universities are given most serious consideration. It is the chair's or director's responsibility to solicit the outside letters. It would be helpful if the chair, division chief, or graduate center director counseled the candidate as to this weighting consideration.

The responsibility for soliciting outside letters rests with the chair, division chief or graduate center director. The candidate's only participation is to supply the chair, division chief, or director with suggestions of names and addresses. It is imperative that the chair or director send samples of the candidate's work and teaching evaluations to the outside evaluators. The dossier must indicate what work was sent. The chair, division chief, or graduate center director will consult with the candidate about which samples of work to send. The outside

letters should address the quality of the candidate's work and provide an objective analysis of its merits and its contributions to the field. The qualifications of external reviews must be noted in the dossier.

[4] CONFIDENTIALITY

Within the parameters of federal and state laws, we make every effort to maintain confidentiality on behalf of the individual candidate for appointment, promotion and/or tenure. Each department/school, college and central office as well as each academic area committee member must be diligent in maintaining confidentiality with respect to the materials under review and the deliberations between involved parties.

Kentucky's Open Records Law makes clear that outside letters and internal letters are not protected by claims of confidentiality. In addition, all letters of evaluation are placed in the candidate's Standard Personnel File (AR II-1.0-1, Section II.G).

External reviewers should be informed that their letters will not be confidential, but that our request is that they make an honest, professional opinion of the value and significance of the candidate's performance.

The courts have made clear that professional judgment that is professionally rendered, given without personal bias, will be protected. A university must be one institution in society where professional judgment of a colleague's work is offered without malice and without fear of retribution.

[5] CONSULTATION WITH FACULTY

The University's Governing Regulations (Part VII.B.5, page VII-II) require consultation with certain faculty on faculty appointments, reappointments, terminal reappointments, promotions, and the awarding of tenure. At a minimum, consultation shall be with [1] all tenured members of the department or graduate center; [2] directors of any multidisciplinary research centers or institutes with whom the faculty under consideration is associated; and [3] all full-time, non-tenured faculty members with the actual or equivalent rank of assistant professor or higher who have been members of the department for at least two years (except for cases of tenure or promotion to a rank that would be higher than that of the consulted faculty member). Faculty members who are appointed in the Research Title Series, Clinical Title Series, or Visiting Title Series or who are appointed as lecturers are excluded from the third category. Each consulted faculty member, with exceptions only as listed in the Regulations, is expected to provide a written judgment on each such case. This is a complex matter, and it is essential that you consult the Governing Regulation referenced above and the exceptions contained therein.

The provision of these written evaluations is both a right and a responsibility of the faculty. Faculty are entitled to have and to state opinions, and inserting in the letters phrases such as "in my opinion" will help to differentiate these from statements of fact that may require proof. The letters should be as informative as possible. It is not acceptable for these letters to consist simply of votes for or against a proposed promotion or granting of tenure. In order to achieve both fairness to the candidate and protection of program standards, the letters

should be objective and analytical, written for the purpose of providing guidance to those who will make subsequent evaluations.

Letters should not be personal. They should be professional judgments about the professional performance of the candidate, offered not as statements of fact but as expressions of opinion of the evaluator.

[6] DOCUMENTATION OF TEACHING

Teaching performance is taken seriously in the promotion and tenure process, and failure to address it properly may jeopardize an otherwise meritorious case. Teaching performance should be documented thoroughly. Faculty personnel actions that require review by an academic area committee must include the Teaching Portfolio. AR II-1.0-5 (Faculty Performance Review) states in section A, part 2:

"The extent and character of each faculty member's teaching and advising should be documented by a body of supporting materials regularly maintained and updated by the faculty member. For the University System, such documentation shall include a teaching portfolio as outlined in Appendix I."

That Appendix, as copied from the AR, is attached to this memo. The portfolio applies not only to promotion and tenure, but also to faculty performance review. Parts of the Portfolio requirement are voluntary and parts involuntary. No one will be penalized for supplying the bare minimum, but the more information available, the better the chance the candidate has to demonstrate teaching and advising abilities.

[7] SPECIAL TITLE SERIES

Complete information must be supplied on individuals in a Special Title Series or with other exceptional appointments that differ from regular faculty positions. Dossiers for Special Title Series faculty must contain full descriptions of the positions and of the criteria for promotion that have been approved.

In addition, the new Governing Regulations (GR VII.A.6.c) also state:

"The Department faculty may develop statements describing the evidences of activity in teaching, research and service that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. If developed and approved by the department faculty, those statements must be submitted by the chair of the department to the dean for review and final approval before the statements are made operative in the department."

Correspondingly, if such statements have been made operational and applied to the proposal for promotion and/or tenure, a copy of the indicated statement, and the dates of its approval by the department faculty and dean, must be included in the dossier.

Note: The new GRs were adopted by the Board of Trustees at its June 2005 meeting, and each new chapter of the Governing Regulations is posted under the section for "SCGR1" at

<http://www.uky.edu/Trustees/agendas/jun05/>.” These sections have not yet been posted at the GR web site at: <http://www.uky.edu/Regulations/GR/>, but their posting at this site is imminent.

[8] SPECIAL MATERIALS

Materials such as slides, audiotapes, videotapes, and movies may present a dilemma to the academic area committees. The dossier should explain what these materials are and should indicate how important it is that they be viewed or heard. The committee will appreciate direction on where to find the necessary technology to view or hear these materials. Colleges should make reasonable efforts to provide necessary technology in the committee’s dossier-reading area.

[9] MULTIDISCIPLINARY RESEARCH

Care should be given to evaluate multidisciplinary research carefully and in consultation with groups outside the candidate’s primary unit. We need to recognize that some disciplines are entering an era of multidisciplinary/multi-investigator research requiring team of investigators rather than the traditional model of single-investigator research.

[10] APPROPRIATE ACADEMIC AREA COMMITTEE

In most cases, it is obvious which academic area committee should review a file. Sometimes, however, the choice of committee is not apparent from the academic department (e.g., an Anthropology case might go to the Biological Sciences committee or to the Social Sciences committee). Even where these options are not explicitly listed in AR II-1.0-1, Section XII.E, the details of a candidate's work may make an academic area committee other than the usual one for the department most appropriate. In any case, where a non-routine choice of an academic area committee is desired, it is necessary to obtain the written agreement of the candidate to send his or her file to that committee and to inform the Provost or Associate Provost for Academic Affairs of this choice when you submit the dossier.

[11] COLLEGE ADVISORY COMMITTEE

A dean may seek the advice of a college advisory committee on any appointment, promotion, and tenure case where assistance will be helpful. It is mandatory to seek advice when considering for tenure an untenured assistant or associate professor in the next-to-last year of a probationary period or an untenured full professor in the first semester of his or her one-year probation (AR II-1.0-1, Section III.E). Under University regulations (AR II-1.0-1.II.F), a dean must seek advice from a college advisory committee prior to making a final decision regarding a non-renewal of appointment or a terminal reappointment of a tenure-track faculty member. In addition, University regulations require the selection of members of the college advisory committee through an election or through consultation with an appropriate faculty group. It is recommended that advice be sought from a college advisory committee when the dean is contemplating denying a department’s recommendation for reappointment. In cases where the advice of the college advisory committee is sought, the recommendation must be in writing, and a separate letter must be obtained for each case. These letters will become part of the official correspondence to which faculty members have access in their Standard Personnel File.

[12] REPORTING PROCEDURES IN THE DOSSIER

It is a matter of fairness that faculty considered for (re)appointment, promotion, and tenure know what procedures are being used to reach that decision. The Governing Regulations (GR VII.A.6.c) now state:

“Jointly with the department chair, the department faculty shall establish procedures to be used within the department concerning recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint”

The dossier must contain a copy of the established procedures used at the department, and the college level, in the appointment, promotion and/or tenure process including a notation as to the date that the faculty together with the department chair formally acted to establish the described procedures. Reappointments, terminal reappointments, and decisions not to reappoint do not require a dossier, but a description of the department-level reappointment process must be on file in the department. The purpose, once again, is to demystify the process. A good university, rendering tough-minded, qualitative judgments, has no need to cloak its procedures for arriving at those judgments.

[13] CHECKLIST

Attached is a checklist to use in compiling dossiers to ensure that no essential components are omitted.

attachments: Checklist
 2005-06 P&T Calendar
 Teaching Portfolio Description

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cc: Academic Area Advisory Committees
 Lee T. Todd, Jr.
 Ernest Yanarella

2005-2006 CALENDAR FOR PROMOTION AND TENURE PROCESS

January 16, 2006	Promotion and/or tenure dossiers due from Deans' offices to Provost's office
March 1, 2006	Completion of academic area committees' consideration dossiers
March 6, 2006	Recommendations of academic area committees due in Provost's office
April 10, 2006	Recommendations of Dean of Graduate School due in Provost's office
May 1, 2006	Provost's recommendations to President completed

Note: As described in Section C of this memorandum, the Colleges of Dentistry, Health Sciences, Medicine, Nursing, Pharmacy and Public Health will continue to operate a promotion and tenure process on a rolling basis.

APPENDIX I

Teaching Portfolio (University System)

A. Teaching Evaluation

The teaching portfolio is composed of a variety of materials related to teaching and advising collected and maintained by the faculty member. It serves as an instrument for review, evaluation, and improvement of teaching and advising. The teaching portfolio enables faculty to describe their teaching assignments, methods, and circumstances, which - of necessity - vary widely in a complex university environment. The portfolio concept encourages faculty to submit a variety of materials that describe, explain, and assess teaching, advising, and related activities. Just as publications, extramural grants, and peer evaluations testify to the nature and quality of a faculty member's research, materials contained in the portfolio document the nature and quality of a faculty member's teaching and advising.

The following items are required for documentation of teaching:

1. A brief reflective statement by the instructor which describes teaching and advising assignments, sets forth philosophies or objectives, and provides whatever information may be necessary to provide colleagues with a context for interpreting and understanding the other evaluative information.
2. For each semester under review, a list of all courses taught, with the title, course number, number of students enrolled, and - for each different course - a short description.
3. Representative course syllabi.
4. A quantitative and qualitative summary of student evaluations.

The following items are suggested but not required:

1. Materials prepared for teaching activities, such as assignments, exercises, handouts, examinations or other assessment materials.
2. Indicators of student learning: such as examples of graded work; reference to students who succeed in advanced courses of study and/or who earn academic awards; accomplishments of former students; evident of learning by use of pre-and post-testing procedures.
3. Evidence of peer regard: colleague class visitation reports; peer evaluations of course content, materials, assignments, and practices.

4. Documentation of teaching-related activity: curriculum and course development; consulting work; innovative teaching methods; participation in teaching programs of other units or at other universities.

5. Evidence of recognition: teaching related grants; publications related to teaching and advising; teaching awards and honors.

6. Enumeration and description of work with individual students: supervision of Honors students, graduate students, independent or experiential learning; consultation with students outside the department.

B. Advising Evaluation

Where advising is a portion of the faculty member's usual assignment, evaluation should include the extent of advising and its quality along with an indication of the grounds for evaluation.

The portfolio must include the following items:

1. A section of the reflective statement which describes the nature and extent of advising and any other information necessary to provide colleagues with a context for evaluation of advising.

2. For each semester under review, the number and level of undergraduate and graduate program advises, and a list of masters and doctoral students for whom the instructor served as a member of a thesis or advisory committee.

3. A list of those students for whom the professor served as preceptor, or director of a thesis or dissertation.

4. Summary of activities associated with student organizations and service on student-faculty committees.

5. Student evaluation of advising.

The following item is suggested but not required:

Evaluation of advising by unit colleagues or administrators.