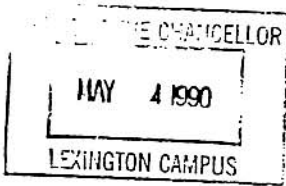


UNIVERSITY OF KENTUCKY

LEXINGTON, KENTUCKY 40506-0034

DR DONALD J MULLINEAUX
CHAIRHOLDER
THE DUPONT ENDOWED CHAIR
IN BANKING AND FINANCIAL SERVICES



DEPARTMENT OF FINANCE
COLLEGE OF BUSINESS
AND ECONOMICS
1606J 257-2890

May 3, 1990

Dr. Robert E. Hemenway, Chancellor
Lexington Campus
111 Administration Building
Campus 00325

Dear Dr. Hemenway:

I am writing to convey some suggestions from the members of the Academic Area Committee for the Social Sciences for improving the dossiers prepared in the Promotion and Tenure process. Our overall impression is that the quality of the dossiers has improved, on average, in recent years, but some troublesome areas were identified by the Committee.

The most important concern was missing information. On occasion, the results of merit or teaching evaluations were not included in the dossiers. A faculty member's distribution of effort is another important piece of information which was not always part of the dossier. Also, since teaching and merit evaluations are not uniform across the University, some additional information that provides context (such as average scores for the department or college) is helpful for the Committee.

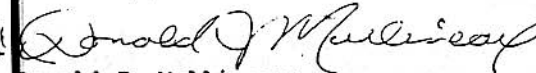
An area which was the source of much discussion in our meetings involved the issue of joint research. The Chairs and Deans should provide as much information as possible about the extent of a faculty member's contribution to jointly authored articles. It was not always clear to the Committee, for example, whether the order of authors' names involved a signal of first authorship. Statements from faculty members which address the issue of their contributions to team research are helpful.

While the dossiers now provide better information about the external reviewers than in previous years, there remains some uncertainty from time to time about whether the candidate or the department has recommended the reviewer. The Committee also observed that departments often rely on former UK faculty as reviewers. This has advantages and disadvantages, but members of the Committee felt it was important that this "connection" be made clear in the dossier.

Finally, the Committee members found, not surprisingly, that conflicting points of view were sometimes expressed in a dossier. When the Dean or department Chair can provide some contextual commentary in these situations it helps the Committee's decision process.

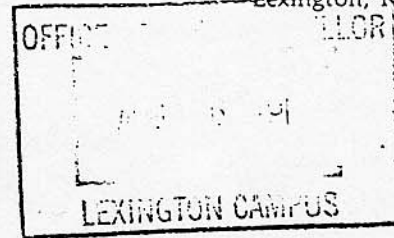
The members of the Committee appreciate your concern for improving this difficult process and thank you for the opportunity to share their views with you.

Cordially,


Donald J. Mullineaux
DJM/src

Handwritten notes:
Money -
We should
be getting
to talk to
Covington
Hold
them
for
a
c.

6 August 1991

Department of Geography
1457 Patterson Office Tower
Lexington, Kentucky 40506-0011
606-257-2931

Dr. Robert Hemenway, Chancellor
Lexington Campus
111 Administration Building
University of Kentucky

Dear Bob:

As chair this past year of the Academic Area Advisory Committee for the Social Sciences, the committee members have asked that I write you with specific ways we believe the evaluation process can be improved to ensure fairness and comparability. The specifics discussed below were discussed throughout the year on more than one occasion in our deliberations of new faculty and those already here in rank who sought promotion and tenure.

Let me offer nine specific suggestions:

1. The candidate's file can and should be complete. The final responsibility for the quality of the file rests with the department's chair. We request that all the information be provided in an orderly organized fashion. Most materials were included in spiral bound notebooks or file folders, specifically marked as to their contents, for example, "Outside Referees" and "Letters from Colleagues." There were several cases where what we were asked to evaluate was disorderly and very difficult to piece together, to say the least.
2. We question the wisdom of including "everything" in one's file. Perhaps we can ask the candidate to select her/his five or six papers published during the past five years. The committee has often been inundated with huge boxes and files of everything or almost everything one has written. It is impossible to evaluate properly such quantities of material and we even question the merit of asking that such tomes be submitted.
3. The chair should state in her/his cover letter or in the appropriate file who selected which referees. Sometimes we have had to request that information prior to our discussions. We also request that the committee be provided a brief paragraph (five or six lines) of information about the credentials of the referees. We request that the chair and candidate not ask one's dissertation advisor. We see this situation creates a potential conflict of interest. Should a chair decide to ask the

her/his contribution on co-authored publications and grant proposals. This statement might be three or four pages and should be carefully crafted.


9. We strongly recommend that the files include a packet or portfolio of information in which to evaluate one's teaching record. This information would be more than copies of standardized student evaluations. We would consider these as useful ingredients in the "teaching portfolio;" syllabi from upper and lower division courses; copies of exercises, assignments, and projects; a "Statement on My Teaching Philosophy." peer (by colleagues or chair) evaluations of one's teaching performance, and unsolicited letters by students about the candidate's teaching performance. If the candidate has written any articles or presented any papers on instruction, these might be included as well. The statement on teaching could/should include one's commitment to teaching, major objectives in teaching lower division and graduate students, and linkages between one's teaching and research. We are very pleased the university is committed to evaluating quality instruction in promotion and tenure decisions. The committee unanimously supports these efforts.

We believe the above suggestions will assist the committee in providing comparable, fair, and expeditious decisions. Delays in our evaluation often result because of incomplete or insufficient information being provided. We know that the burden of incorporating the additional materials falls on the chair, but it is our belief that the candidate's promotion and tenure file or hiring file is the most important material the chair will provide on any colleague.

Our final request is that there be some discussion in the upper administration about notifying individuals earlier than April or May. We reviewed a number of files in November and December. While we have no idea when the deans, chairs, and individuals were notified, we were aware that some recommendations we made not known by the candidates until mid-spring semester.

I would be willing to discuss these or any related ideas with your or others. I have enjoyed my two years on the committee and have learned much about the university's administrative regulations as well as about the faculty around the university. I feel proud of the many new and senior members we have at the University of Kentucky. We have some nationally and internationally recognized junior and senior faculty. We need to publicize that information to our students, alumni, legislators, and citizens of the Commonwealth.

Respectfully,


Stanley D. Brunn, Chair
Academic Area Advisory Committee, Social Sciences

candidate's dissertation advisor or a member of the candidate's advisory committee, we request that information be provided in the brief biography of the candidate.

4. We would also like the chair to provide information about the quality of journals the candidate has published. How are they "ranked" within the profession? Are they regional, national, international, interdisciplinary? What are acceptance/rejection rates, if known? Are they very specialized or appealing to a broad readership? Any other information would also be useful.

5. The committee needs additional information on the merit ratings and the DOE. For the candidate's file, the committee can better evaluate one's performance over a several year span if it knew how well the person compared with others of the same rank or all others in a department. Where the merit ratings near the department mean? Did they fluctuate and why? In regards to the DOE, what is the departmental norm? What is the college norm? Are the figures different from that norm and why? This information can be provided in the chair's letter or in separate notes or tables in the file. Remember that this committee evaluates candidates from ~~Arts and Sciences~~, Education, Communications, Human Ecology, and sometimes other colleges.

6. We request that the colleagues write evaluative letters, not simply one short paragraph stating "yes." Too many of these letters from colleagues appear to be "poured from the same mold." We know that to write detailed evaluative letters requires time and effort, but promotion and tenure decisions are major ones for a department and university. Again, the chair can influence the quality of internal letters. (I might add that the committee is not swayed by a chair or colleagues saying "we need to promote Professor X or he/she will leave UK." The committee renders independent decisions based on the quality of the overall record.)

7. We would like some discussion by the chair of the candidate's contribution in multiple authored publications. It is very difficult for the committee to discern who did what. The committee also might be served by knowing how multiple authored publications are viewed by one's colleagues and disciplines. If all or almost all publications are co-authored, this can present problems in providing an evaluation of what the candidate actually contributed. We consider this information very important in determining a fair evaluation.

✓ 8. We request that all candidate's provide as part of their file a "Statement of Future Research." We believe both are essential in evaluating what one has accomplished research-wise and in what ways one plans to proceed. This statement could/should be the place where the candidate can discuss