

UNIVERSITY OF KENTUCKY  <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION <b>AR II-1.0-1, Parts I-III</b>	PAGES <b>1</b>
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PROCEDURES FOR FACULTY APPOINTMENT, REAPPOINTMENT, PROMOTION  
AND THE GRANTING OF TENURE

I. Introduction

A University capable of educating its students for work and citizenship in the twenty-first century must have an outstanding faculty. These procedures and criteria have been developed for the purpose of continually improving the quality and performance of the faculty in order to enhance the quality of the University's programs and permit the University to achieve its multiple missions.

The review required for promotion and granting of tenure is a summative evaluation of both the candidate's accomplishments over the entire probationary period and his or her future scholarly potential. It is based on the criteria set out in the *Administrative Regulations* which require a consideration of information (e.g., the evaluations of external reviewers) that might not be available for the annual and progress reviews.

Faculty appointments are with educational units and shall be of three basic types: (1) tenure-ineligible appointments; (2) tenured or tenure-eligible appointments; and (3) post-retirement appointments. (GR X-B.1)

Before selecting a faculty employee, the educational unit must ensure that it has followed the established hiring policies and practices of the college, as codified in the *Rules of the College*, and all *Governing and Administrative Regulations* on appointments.

II. Sources of Procedures and Criteria for Appointment and Advancement

A. Procedures

The procedures to be used in each educational unit for preparing recommendations for appointment, promotion, and granting of tenure shall be those established by the University, the college and the faculty of the educational unit (GR VII.B). The University procedures are those established in the *Governing Regulations*, the *Administrative Regulations* and as may be further elaborated by the Provost. In addition to those procedures prescribed here, college-level procedures may be established by the dean in consultation with the college faculty (GR VII.A.4). Additional procedures at the unit level are

established jointly by the department chair, graduate center director, school director (when the school does not contain departments), or the dean in a college without departments or schools (referred to hereafter as the “educational unit administrator”) and the faculty of the educational unit (GR VII.A.5,6,7).

B. Criteria and Evidences of Activity

1. The University-level criteria and evidences of activity to be used in evaluations for appointment, reappointment, promotion, and tenure for the various faculty title series are specified in various sections of the *Administrative Regulations* as indicated below:

- (a) Regular Title Series – (see AR II-1.0-1.1, Part V-A and V-B)
- (b) Extension Title Series – (see AR II-1.0-, Part VI)
- (c) Special Title Series – (see AR II-1.0-1, Part VII)
- (d) Research Title Series – (see AR II-1.0-1, Part VIII)
- (e) Clinical Title Series – (see AR II-1.0-1, Part IX)
- (f) Librarian Series – (see AR II-1.0-1, Part X)
- (g) Adjunct Title Series – (see AR II-1.0-1, Part XI)
- (h) Emeritus Faculty – (see sub-section II.C.4 below)
- (i) Voluntary Title Series – Criteria for academic ranks of voluntary faculty shall be approved by the Provost (see AR II-1.0-1, Part XIV)
- (j) Lecturer Series – Unit criteria and evidences, and procedures for appointment, reappointment, promotion, and merit review of Lecturers shall be established by those educational units that employ full-time Lecturer faculty and submitted to the dean of the college for approval. (see AR II-1.0-1, Part XIII)

2. In addition to the above, each unit’s faculty may develop policy statements describing the evidences of activity in instruction, research and other creative activity, and service that are appropriate to their field(s), for use in guiding evaluations for promotion and tenure. The departmental statement is operative in the unit upon approval by the dean (GR VII.A.6.c). If no such statements are approved for a unit, then only the specifications of the University level regulations shall be used for evaluation.

C. Other Faculty Appointments

1. Joint Appointments – The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment should be processed independently and considered on its own merits. An individual's academic rank, though usually the same, may differ in the constituent appointments (see GR X, Page X-4).
2. Faculty Employee Assignments at the Veterans Affairs and other academically affiliated non-UK hospitals and clinics – There are occasions when a regular faculty employee may be assigned to work at the Veterans Affairs or another non-UK hospital or clinic pursuant to an academic affiliation agreement. In such cases, salaries may be paid partially or totally, or reimbursed by the affiliated institution. Faculty employees so assigned shall retain all the rights and privileges of regular faculty as described in the *Governing Regulations* and *Administrative Regulations* and are subject to all applicable University policies and procedures. Salary funding arrangements shall be defined by contract.
3. Named Professorships – Individuals appointed to named professorships shall meet all criteria for the rank of Professor and shall have acquired national recognition for excellence in instruction, research and other creative activity, or service in their disciplines. While normally reserved for exceptional professors, a named professorship may be granted to an exceptional associate professor. Each named professorship will provide specifically identified resources for program support of a professor, and it is ordinarily expected that a significant portion of the compensation and program support allocations will come from endowment income or extramural gifts (see AR II-1.2-3, "Policies Governing Private Funding of Academic Positions"). In exceptional circumstances (e.g., the recruitment or retention of a Member of the National Academy of Science) named professorships may be submitted by the President to the Board of Trustees for approval for which funding may derive from revenue sources other than endowment income or extramural gifts.
4. Emeritus Faculty - Upon retirement, tenured faculty members shall retain their titles with the designation of “emeritus” (e.g., professor emeritus). Faculty members 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 a mailbox in the appropriate department; to be assigned office and/or laboratory space and furnished supplies for creative work (upon request, subject to availability and approval of the concerned educational unit); to have faculty library privileges; to apply for Research Committee grants and publication subsidies; to receive University identification cards; to receive parking privileges as specified in University Parking Regulations; to attend, without voting privileges, meetings of the University Senate; to participate, upon invitation, as non-voting members of departmental or college faculties; to use University recreational facilities upon presentation of suitable identification; to purchase tickets to athletic events with previous priority status; to hold

membership in the University of Kentucky Federal Credit Union; to make purchases at the University Bookstore at the employee discount rate; 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.

5. Temporary Faculty - An individual whose assigned duties and responsibilities should be completed within one year or less may be appointed as a faculty employee on a temporary basis. Temporary appointees are not eligible for tenure; however, time spent in a full-time appointment on a temporary basis at the University of Kentucky may be counted as a part of the individual's probationary period should the individual subsequently be appointed to a regular, full-time position in a tenure-eligible title series. Temporary faculty employees are not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs.

(a) Visiting Faculty - The designation "visiting" before an academic title indicates that the individual who holds an appointment at an academic institution or research center has been offered a temporary appointment for an academic year, semester, summer session, or other specified term not to exceed one year. The visiting title used should be appropriate to the appointee's home base academic rank (i.e., visiting professor, visiting associate professor, visiting assistant professor, or visiting instructor). Where the usual academic rank or title does not appear to be suitable, the title "visiting lecturer" shall be used. Such an appointment is approved by the Provost upon recommendation of the educational unit administrator and the dean without reference to an Academic Area Advisory Committee. A visiting appointment is typically full-time, either salaried or unsalaried. The appointment is temporary, by definition, and the visitor is not eligible for faculty benefits. A visiting faculty employee with a salaried full-time appointment is not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs. Visiting faculty are not eligible for membership in the University Senate, but faculty membership, with or without voting privileges, may be extended to visiting faculty by the educational units to which they are assigned. Visiting faculty are not eligible for tenure; however, time spent in a full-time appointment on a visiting basis at the University of Kentucky may be counted as a part of the individual's probationary period should the individual subsequently be appointed to a regular, full-time position in a tenure-eligible title series.

(b) Part-time Faculty - Part-time faculty employees are those who have

an official faculty appointment, receive a salary, and participate substantially, but less than full-time, in the program of an educational unit. Appointments of part-time faculty members by the appropriate deans, without reference to an Academic Area Advisory Committee, shall be for one year or other stated period not to exceed one year, subject to renewal. Appointees are not eligible for tenure, sabbatical leave, and membership in the University Senate. Appointees are not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs. Faculty membership, with or without voting privileges, may be extended to part-time faculty employees by the educational units to which they are assigned.

### III. Procedural Steps Occurring at the Level of the Educational Unit

#### A. Initiating the Review Process

1. Recommendations for appointment, reappointment, terminal reappointment, joint appointment, post-retirement appointment, non-renewal of appointment, promotion and the granting of tenure concerning faculty of any rank or title series, shall be initiated by the educational unit administrator.
2. Reviews for promotion or granting tenure shall be completed in time for the affected faculty employee to be notified of the result in accordance with GR X.B.1(e).
3. During the second year at the rank of instructor, the individual shall be considered for promotion or terminal reappointment effective in the third year, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a terminal reappointment.
4. An assistant professor who is in the sixth or next-to-last year of a probationary period shall be considered for promotion and tenure, unless the individual requests in writing that such consideration not be done because of resignation or willingness to accept a terminal reappointment.
5. An associate professor on appointment without tenure may be considered for tenure at any time prior to the next-to-last year of the stated probationary period. However, a tenure-eligible associate professor shall be considered for tenure no later than the next-to-last year of a probationary period, unless the individual requests in writing that such not be done because of resignation or willingness to accept a terminal reappointment.
6. A tenure-eligible professor shall be considered for tenure in the first half of a one-year probationary period, unless the individual requests in writing that

such not be done because of resignation or willingness to accept a notice of non-renewal of appointment.

B. Consultations Conducted by the Educational Unit Administrator

Individuals who have defined or assigned administrative roles and participate in the decision-making at or above the level of educational unit administrator shall not be involved as consulted faculty employees in the educational unit in which they hold an academic appointment.

C. Consultation with Applicants and New Faculty

1. Either before or at the time of interview of an individual for a faculty appointment, the educational unit administrator shall inform the individual about those parts of the *Governing Regulations* and the *Administrative Regulations* that deal with appointment, promotion and tenure and shall provide access to these regulations as requested. At the time an appointment is tendered, an individual shall be informed of the criteria for academic ranks by the educational unit administrator.

2. The educational unit administrator shall inform all new faculty employees (within one month of the beginning of their employment) of the existence and locations of the following University documents: (a) the *Governing Regulations*; (b) the *Administrative Regulations*; (c) the *Rules of the University Senate*, in particular the Faculty Code; (d) the rules and procedures of their college; (e) the rules and procedures of their educational unit; and (f) the *Student Rights and Responsibilities*. Access to any of these documents shall be provided by the educational unit administrator as requested.

D. Consultation with the Faculty Candidate for Promotion or Tenure

Prior to the initiation of a recommendation concerning tenure for an individual during the next-to-last-year of a probationary period, the educational unit administrator shall consult with the faculty employee as to whether the individual waives the exercise and thereby stops the consideration. Any such waiver shall be in writing to the dean and the dean shall offer the individual a terminal reappointment. An assistant or associate professor with tenure whose promotion to a higher rank has not been considered by an Academic Area Advisory Committee for a period of six years may request such consideration by September 1 of the seventh or a subsequent year. The educational unit administrator shall make the individual aware of the option to submit such a request.

E. Assembly of the Dossier and the Standard Personnel File

1. The educational unit administrator is responsible for the assembly of a dossier associated with a faculty personnel recommendation. The dossier is prepared from materials in the Standard Personnel File (see below) and additional

materials supplied by the educational unit administrator and faculty employee. The dossier contents necessary for most faculty personnel actions other than annual faculty performance review are specified in Appendix II (Dossier Contents.) In the preparation of a joint appointment dossier, the educational unit administrator in the secondary department shall develop the dossier for the secondary appointment.

2. All written judgments from consulted individuals shall be obtained only through the request of the educational unit administrator.

3. Pursuant to Kentucky Revised Statutes KRS 61.878, the written judgments of persons consulted in connection with appointments, promotions, and tenure decisions are not confidential, and the writers of such judgments shall be notified accordingly.

4. There shall be one Standard Personnel File maintained for each faculty employee. The Standard Personnel File contains the Notice of Academic Appointment and Assignment, curriculum vitae, the teaching credentials certification form and, if appropriate, the teaching credentials justification form, and transcripts of academic work leading to advanced degrees. This personnel file also contains many of the critical materials, particularly evaluation materials, needed for or taken from the dossier, which are defined below. The file contains Distributions of Effort, faculty merit or other evaluation reports, evaluations prepared by committees and those of educational unit administrators, and all other professional evaluation reports. The file shall also contain materials related to responsibilities that the faculty employee has to governmental or other agencies. The file contains regularly updated assessments of effectiveness in instruction, research and other creative activity, and service.

5. The Standard Personnel File shall be updated regularly and in particular completed by actions of the educational unit administrator, and also actions of the faculty employee. The faculty employee shall update his or her curriculum vitae annually and such other documents as he or she deems appropriate. The educational unit administrator shall update files as necessary to keep them reasonably current.

6. Unsolicited materials relevant to professional function may be included in the Standard Personnel File provided the faculty employee sees them and is offered the opportunity to document his or her response to them.

7. The Standard Personnel File shall be kept in the office of the educational unit administrator or in the office of the dean as deemed appropriate for each educational unit by the dean. No other Standard Personnel File shall be kept. The Standard Personnel File shall always be available to the faculty employee and to such other persons who he or she authorizes in writing to see that file. The

Standard Personnel File is always accessible to the educational unit administrator or higher administrative officer who is responsible for its maintenance and to such administrators superior to him or her who request access to the file.

8. The Standard Personnel File may contain communications to or from the faculty employee, solicited or unsolicited letters or memos relating to professional function, which are not relevant to consideration for promotion or the granting of tenure. These materials are included in the dossier sent forward for consideration only if the faculty employee so requests. Unsolicited items received by the educational unit administrator may be placed in the dossier provided the faculty employee sees them and is offered the opportunity to document into the dossier his or her response. No materials other than those described above and specified in Appendix II shall be incorporated into the contents of a faculty employee's dossier.

F. Consultation with the Faculty in the Educational Unit

1. An educational unit administrator shall consult with appropriate faculty employees of the unit in preparing recommendations for appointments as delineated above, such consultation being in accordance with *Governing Regulations* Part VII.B.5. See also Appendix I (Matrix of Consultations and Written Judgments).

2. The educational unit administrator shall notify the consulted faculty employees when the dossier, including all outside letters, is available for their review. The consulted faculty employees shall be expected to read and consider the contents of the dossier, including the outside letters, before providing individual written judgments to the educational unit administrator on a recommendation to promote to associate professor or professor and/or the granting of tenure.

3. The following provisions apply to the solicitation of outside letters by the educational unit administrator:

(a) A promotion or tenure dossier shall include a minimum of six (6) letters of evaluation from qualified persons outside the University. Outside letters are crucial in tenure and promotion reviews.

(b) The outside letters shall be obtained by the educational unit administrator directly from appropriately qualified persons selected in part from, and in part independent of, suggestions of the individual being considered for promotion or tenure.

(c) At least four (4) of the outside letters shall come from reviewers selected by the educational unit administrator independent of the candidate for promotion or tenure.

(d) Outside letters from scholars at research-oriented universities shall be given the most serious consideration, except in promotion and tenure reviews involving faculty employees whose assignments do not include significant research responsibilities. Where deemed appropriate by the unit administrator, letters from persons affiliated with prestigious non-academic institutes, centers or specialized schools may be included.

(e) The outside letters shall be accompanied in the promotion or tenure dossier by a written statement by the educational unit administrator indicating for each letter whether or not the name of the respondent had been suggested by the individual under consideration and, if known, whether or not the respondent had been a previous faculty colleague of the individual.

(f) All outside letters received shall be included in the dossier and made available to consulted faculty employees prior to their providing individual written judgments to the educational unit administrator.

G. Recommendation of the Educational Unit Administrator to the College Dean

The educational unit administrator shall forward the completed dossier with the educational unit administrator's recommendation to the dean. Where disagreement occurs between the educational unit administrator and the consulted educational unit faculty concerning a recommendation, the educational unit administrator shall report this difference with adequate documentation to the dean and also notify the consulted unit faculty regarding such action.

IV. Procedural Steps Occurring at the Level of the College

A. Completeness of the Dossier

The dean shall review the dossier for completeness (see Appendix II) and procedural compliance. If the dossier is not complete or procedurally compliant, the dean shall direct the educational unit administrator to secure the missing materials or procedural compliance and, as appropriate, to allow the consulted unit faculty to examine the new materials and contribute new consultative input to the educational unit administrator or to submit new written judgments.

B. Consultation with College Advisory Committee on Appointment, Reappointment, Promotion and Tenure

1. Each college shall have an advisory committee which is concerned with policy matters and individual cases related to faculty appointments, retention, promotion and tenure. It can be elected by the faculty, or established by the dean after consultation with an appropriate faculty body of the college that is identified by the college faculty in its College Rules document.
2. Prior to making a recommendation or decision on terminal reappointments or non-renewals of appointment, the dean shall provide the dossier to the committee, and obtain its written advice.
3. The dean shall also obtain a written recommendation from the advisory committee whenever an assistant professor, associate professor, or professor is considered for promotion or tenure.
4. It is recommended that such advice also be sought for initial appointments at the associate professor or professor rank.
5. A member of a college advisory committee or an Academic Area Advisory Committee shall be excluded from any participation in that committee's consideration of a recommendation initiating from the educational unit in which the faculty employee holds an academic appointment. He or she shall participate fully in the unit-level evaluation of those candidates.

C. Actions Taken by the Dean

1. The dean of a college shall make the final University decision to approve or disapprove a recommendation for those actions specified in Appendix III (Matrix of Authority of the Dean) as being delegated to the dean's final authority. The dean shall inform the candidate in writing of the action taken, with a copy to the educational unit administrator, and as specified in Appendix III the dean shall communicate the action taken through the Provost to the President to be reported to the Board of Trustees.
2. If a dean disapproves an educational unit administrator's recommendation for reappointment at any rank and offers a terminal reappointment instead, but the tenured members of the unit faculty reaffirm their written judgment by majority vote and the educational unit administrator reaffirms his or her positive recommendation for reappointment, the Provost shall refer the matter to the pertinent Academic Area Advisory Committee.
3. In actions for which the dean is not delegated final approval (see Appendix III), the dean shall obtain, as appropriate, the written recommendation from the college's advisory committee, and then act upon the recommendation from the unit. If the dean approves a positive recommendation or overturns a

negative recommendation of the educational unit administrator, the dean's recommendation, the dossier, including any written recommendation of the college advisory committee, shall be forwarded to the Provost.

V. Procedural Steps Occurring at the Level of the Provost

A. Completeness of the Dossier

The Provost shall ensure that the dossier is complete and procedurally compliant. (Appendix II) If the dossier is not complete or if there is procedural noncompliance, the Provost shall direct the dean to secure the missing materials or the procedural compliance and, as appropriate, to allow the consulted unit faculty, the educational unit administrator, the college advisory committee, and the dean to examine the materials and contribute new consultative input or to submit new written judgments or recommendations.

B. Recommendations from Academic Area Advisory Committee

1. Academic Area Advisory Committee

(a) The Provost shall forward the dossier to the appropriate area committee for all cases involving appointment at, or promotion to the rank of Associate Professor or Professor, or the granting of tenure. In those cases that have not received near unanimous support from all lower-level reviewers (external, unit faculty and educational unit administrator, college advisory committee and dean) the Provost shall require a written evaluation from the area committee. The area committee may elect to submit to the Provost a written evaluation on any case assigned to the area committee.

(b) For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit administrator's concurrence for reappointment, the Provost shall refer the matter to the appropriate area committee (or to an ad hoc advisory committee appointed by the Provost for this purpose) for an independent written evaluation. The committee in its deliberations shall address itself to the individual's scholarly potential, ability as a teacher, and other professional qualifications indicative of a probable eventual tenured appointment and shall submit a written recommendation to the Provost.

(c) An area committee may request the written advice of an ad hoc committee (appointed by the Provost) for further evaluation before returning the dossier with the ad hoc committee's written advice and the area committee's evaluation to the Provost.

C. Actions Taken by the Provost

1. The Provost shall make the final University decision to approve or disapprove a recommendation concerning visiting title series faculty and promotion to Senior Lecturer. The Provost shall communicate approval through the President to the Board of Trustees and convey the substance of his or her final action (approval or disapproval) in writing to the dean. The dean shall notify the candidate in writing with a copy to the educational unit administrator.

2. For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit administrator's concurrence for reappointment, the Provost shall consider the reports and recommendations and either approve the proposal for terminal reappointment and report the action through the President to the Board of Trustees and notify the dean, or disapprove and stop the proposal and inform the dean in writing of the Provost's decision for reappointment. The dean shall notify the candidate in writing with a copy to the educational unit administrator.

3. For all other cases involving the consideration of appointment, reappointment, promotion and the granting of tenure, the Provost shall review the dossier and all recommendations and either forward his or her positive recommendation to the President of the University, or stop the evaluation process and inform the dean of that decision. The dean shall notify the candidate in writing with a copy to the educational unit administrator.

VI. Procedural Steps Occurring at the Level of the President

If a positive recommendation is forwarded to the President, the President shall either approve the proposal and make a positive recommendation to the Board of Trustees for final action or disapprove and stop the proposal and inform the Provost. The Provost shall inform the dean in writing, who shall notify the candidate with a copy to the educational unit administrator.

VII. Procedural Steps Occurring at the Level of the Board of Trustees

A. The Board of Trustees shall take final action on the proposal by approving or disapproving the President's recommendation. The President, through the Provost, shall inform the dean in writing of the Board's action. The dean shall notify the candidate in writing with a copy to the educational unit administrator.

B. The Notice of Academic Appointment and Assignment form constitutes the official appointment record. With the exception of salary, the precise terms and conditions covering each appointment shall be stated in writing on that form. The appointment, including salary, becomes final when it is approved by or reported to the Board of Trustees.

Notice of reappointment for tenure-eligible faculty shall be processed in a timely manner, preferably at least three months before the renewed appointment begins. It shall be the responsibility of the Provost to ensure compliance with this regulation.

C. The ending date of the probationary period in a tenure-eligible appointment shall be set prior to signing the initial Notice of Academic Appointment and Assignment form and shall not exceed seven years from date of initial appointment, except as permitted in GR X.B.1(c). Previous full-time service with the rank of instructor or higher at another institution of higher learning may be counted as part of the probationary period as negotiated between the appointee and the dean prior to initial appointment.

VIII. Procedural Steps Involving a Negative Recommendation to Reappoint, Promote or Grant Tenure.

A. Whenever a recommendation is disapproved at any level, this fact shall be reported back to the preceding level(s) and an opportunity provided for a thorough discussion of the recommendation among the concerned parties.

B. Any related appeal(s) to the Provost concerning procedural matters or privilege or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom shall be initiated in writing by the faculty employee within 60 days after being notified in writing of the disapproval of the recommendation to reappointment, promote or grant tenure. When such an appeal to the University Senate Advisory Committee on Privilege and Tenure has been initiated in writing by a faculty employee, the chair of the Committee shall inform the appropriate dean and Provost of the development.

C. It is University policy not to provide written reasons in cases of non-renewal of appointment. However, upon the faculty employee's request, the dean of the college may meet with the faculty employee and discuss informally the circumstances surrounding the non-renewal. If the faculty employee is not satisfied with this conference, a related conference with the Provost may be requested.

IX. Final Disposition of the Dossier

At the conclusion of processes leading to negative decisions about appointments, reappointments, promotions or the granting of tenure, the dossier shall remain intact during the sixty (60) day period for filing an appeal, or, in cases where a formal appeal has been filed, until such time that a final decision has been rendered. Thereafter, the dossier shall not be retained, although all evaluative letters and reports or reviews contained in the dossier shall be added to the faculty employee's Standard Personnel File. Representative examples of research and other creative activity included in the dossier as it is forwarded shall be returned to the faculty member for his or her retention. The teaching portfolio, or teaching materials submitted by the faculty employee, shall also be returned.

X. Appendices

- A. Appendix I – Matrix of Consultation and Written Judgments
- B. Appendix II – Dossier Contents
- C. Appendix III – Matrix of Authority of the Dean