UNIVERSITY OF KENTUCKY MEDICAL CENTER
PROCEDURES FOR APPOINTMENT, PROMOTION
AND TENURE DECISIONS

(OR EVERYTHING YOU ALWAYS WANTED TO KNOW BUT WERE AFRAID TO ASK)
# UNIVERSITY OF KENTUCKY MEDICAL CENTER
## PROCEDURES FOR APPOINTMENT, PROMOTION & TENURE DECISIONS

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PREFACE

This Manual is intended to be an informative, useful guide with general information about faculty personnel actions. It does not form any portion of the contract between the faculty member and the institution. The language in this Manual does not supersede, supplement, or alter the language of official University documents such as the Rules of the University Senate, the Governing Regulations, and the Administrative Regulations (GR and AR), or other documents which are described. Specific questions regarding the rights and duties of University employees - including faculty employees - can only be resolved by reference to the appropriate official documents not including this Manual. While efforts will be made to update this Manual, remember that changes in policies, procedures and other information are effective as of the date of action or issuance by the appropriate University body even though such changes have not been distributed or referenced in this Manual. This Manual is intended for use by the academic programs in the Medical Center.
ACKNOWLEDGMENTS

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To the best of our knowledge, all information in this Manual is current as of October, 2002. Revisions will occur periodically.
INTRODUCTION

Purpose

The primary purpose of this manual is to clarify the processes involved in the appointment, promotion, and tenure of faculty in the Medical Center at the University of Kentucky.

The manual also includes information about other processes, for example, the processing of different types of leaves of absence.

The authors have attempted to develop a manual that will be easily understood by all of the individuals involved in these processes at all levels in the Medical Center, but in particular those individuals who are responsible for overseeing or developing the faculty dossiers.

Definitions

General Definitions: Terms routinely used when discussing the appointment, promotion, and tenure process are:

- **Administrative Regulations**: These are official University regulations issued by the President and provide a detailed interpretation and implementation of the Governing Regulations. Administrative Regulations and related amendments are final upon approval by the President.

- **Appeal**: The process of faculty members conveying their concerns or complaints to a higher level of administration for review.

- **Appointment**: The action to employ an individual to a faculty position. The particular nature of the appointment is indicated by the appropriate prefix, such as initial appointment, reappointment, terminal appointment, joint appointment, or post-retirement appointment (each of these is defined below).

- **Appointment (EO2) Form**: The EO2 form is the agreement/contract that describes the appointment for each faculty member (see example in the Policies, Guidelines, Regulations and Forms Section). It is completed and signed by the faculty member, the dean/library director and the Medical Center Chancellor's Office.

- **Appointment Period**: The appointment period refers to the fiscal year (July 1 - June 30). Tenured faculty members are on continuous appointment. Non-tenured faculty members are appointed on a fiscal year basis.

- **Area Committee**: The review body for faculty processes at the associate and professorial levels. Academic Area Advisory Committees are established for the purpose of providing the Provost, the Provost, and the President with a systematic and broad base of advisement from faculty on matters of appointment, promotion, and tenure. There are seven Academic Area Advisory Committees, but only two review dossiers for Medical Center faculty: Academic Area Committee for the Biological Sciences and Medical Center Clinical Sciences Academic Area Advisory Committee (for more information, refer to AR II-1.0-1).
Assignment Period: This is the actual length of time, in months, a faculty member is expected to work during any one fiscal year. It may be a 9-, 10-, 11-, or 12-month assignment. The assignment period is negotiated between the faculty member and the department chair/center director prior to the initial appointment. It usually remains the same from year to year but may be changed if approved by the dean/library director. Faculty assignments within the Medical Center Sector are administered in a manner approved by the Provost.

- **9-Month Assignment Basis:** Faculty members will be available for participation in academic activities from August 16th through May 15th.

- **10-Month Assignment Basis:** Faculty members will be available for participation in academic activities from August 1st through May 31st.

- **11-Month Assignment Basis:** Faculty members will be available for participation in academic activities from August 1st through June 30th.

- **12-Month Assignment Basis:** Faculty members will be available for participation in academic activities from July 1st through June 30th.

Board of Trustees: The Board of Trustees is a body corporate, under the name of Board of Trustees of the University of Kentucky. The Board of Trustees of the University of Kentucky consists of sixteen members appointed by the Governor, two members of the faculty of the University System, one member of the student body, and one staff member. The two faculty trustees have the right to vote on all University related matters except that of faculty compensation. The Board of Trustees must hold at least four regular meetings per year. (For more information, refer to GRs II-2).

Change in Status: This term refers to various changes in the employment status of a faculty member, i.e., part-time, full-time, or voluntary status.

Dossier: A dossier is the document containing the collection of materials used for review regarding a decision related to appointment, promotion, and/or tenure for each faculty member. The department chair/center director must develop a dossier for each initial full-time appointment. An up-to-date dossier is also prepared for consideration for promotions or awarding of tenure. The dossier is prepared from materials in the Standard Personnel File and additional materials supplied by the department chair/center director and faculty member. It must contain all the materials described in AR II-1.0-1, Page II-7&8.

The department chair/center director must secure written judgments from appropriate individuals. Letters of reference obtained from persons suggested by the individual who is being reviewed must be clearly identified as such in the dossier.

Pursuant to Kentucky Revised Statutes KRS 61.878, the written judgments of persons consulted in connection with appointments, promotions, and/or tenure decisions are not confidential. Thus writers of such judgments cannot be given assurances of confidentiality.

The Standard Personnel File may contain communications to or from the faculty member, solicited or unsolicited letters or memos relating to professional function, which are not relevant to consideration for promotion or award of tenure. These materials are not to be included in the dossier sent forward for consideration, except at the request of the faculty member. The department chair/center director forwards the completed dossier with his/her recommendation to the dean.
The dossier is not retained at the conclusion of the process leading to decisions about appointments, promotions and/or awards of tenure. Representative examples of research, scholarly and creative activity included in the dossier are returned to the faculty member for his/her retention. The teaching portfolio, or teaching materials submitted by the faculty member are also returned. The Standard Personnel File must contain all evaluative reports or reviews that supported any promotion and/or tenure.

- **Emeritus**: Emeritus is used after the rank of an tenured faculty member who is retired to denote an honorary title, i.e., associate professor emeritus.

- **EO1 Form**: This form is used to forward any action concerning faculty to the Board of Trustees (see example in the Policies, Guidelines, Regulations and Forms Section).

- **EO2 Form**: The official contract issued for the appointment or reappointment of a faculty member, or for any change in a faculty member’s employment. This form is signed by the faculty member, the dean/director of the college/center, and the Provost. If there is a joint appointment and the joint is in a different college or a center, the EO2 form is also signed by the Dean/Director of the joint college/center. Likewise, if the joint appointment is in a different sector, the appropriate authority of that sector also signs the EO2 form.

- **Faculty Data Base (FDB)**: The Faculty Data Base is the central repository of faculty data and contains information regarding faculty demographics, academic appointments, administrative appointments, education, licensure/certification, promotions/tenure, administration, advisory and professional activities, funding/grants, publications/presentations, teaching and leaves of absence records.

- **Family and Medical Leave**: This type of leave entitles faculty up to 12 weeks of leave during a 12 month period for dealing with family illness, birth or adoption of a child, or a serious health condition which would prevent the faculty member from working. Specific requirements and procedures are listed in the Family and Medical Leave Policy, AR II-1.1-12.

- **Four-Year Review**: A summary review of the progress a faculty member is making toward tenure which is completed four years after the initial appointment (AR II-1.0-5, B., 4.).

- **Governing Regulations**: These are official University regulations issued by the Board of Trustees which list general University operating procedures and policies. Governing Regulations can be amended only with the Board's approval.

- **Grants**: A grant is funding to support research, teaching, or service activity, awarded by either an internal or external agency for a specified period of time.

- **Non-Tenure-track**: A type of faculty appointment not eligible to receive tenure. Examples of these are part-time appointments, and appointments in the Clinical, Research, Voluntary, and Adjunct Title Series.

- **Primary Appointment Unit**: This term refers to the unit where an individual holds his/her primary faculty appointment.

- **Prior Service**: The ending date of the probationary period in a non-tenured 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. Previous full-time service with the rank of instructor or higher at another institution of higher learning shall not be counted as part of the probationary period. A non-tenure period of less than seven years may be negotiated between the appointee and the dean prior to initial appointment.
✓ **Probationary Period:** This is the time span during which the full-time, tenure-track faculty member may be employed in an untenured status. If a faculty member has no prior academic experience in a tenure-track or full-time temporary appointment at the University, the probationary period is seven years minus one day.

✓ **Promotion:** An advancement in rank. The minimal rank for most faculty appointments is instructor, with promotion to assistant professor, associate professor and professor (the exception is in the Research Title Series, where there is no rank of instructor).

✓ **Publications:** Books, journals, newspapers, articles, chapters, etc. that faculty have written, which may be included as part of their dossier for appointment and/or promotion and tenure.

✓ **Ranks:** A series of levels occupied by faculty in the University of Kentucky according to their credentials. Ranks for faculty at the University of Kentucky include: instructor, assistant professor, associate professor and professor. Criteria for appointment or promotion to each rank may differ among the colleges.

✓ **Reappointment:** A new contract for a specific period of time given to the faculty member.

✓ **Reflective Statement:** A brief statement which describes teaching and advising assignments, sets forth educational philosophies or objectives, and provides information necessary to provide colleagues with a context for interpreting and understanding the other evaluative information related to a faculty member’s teaching.

✓ **Sabbatical:** A period of time during which a faculty member is excused from normal work assignment for the purpose of study, research, creative effort, and improvement of teaching capabilities and methods which will benefit the college and University. (GR X.C.5.a., Page X-13)

✓ **Six-Year Review:** 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 October 1 of the seventh or a subsequent year. This request is submitted in writing to the department chair/center director of the individual’s unit who then begins regular review procedures. (AR II-1.0-1, Page III-5).

✓ **Standard Personnel File:** The one official personnel file maintained for each faculty member in any title series. The Standard Personnel File contains the Notice of Academic Appointment and Assignment Form, curriculum vitae, and for those appointed after July 1, 1992, official 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 is defined below. The file contains Distributions of Effort forms, faculty merit or other evaluation reports, evaluations prepared by committees and those of department chairs/center directors, and all other professional evaluation reports. The file also contains materials related to responsibilities which the faculty member has to governmental or other agencies. The file contains regularly updated assessments of effectiveness in research, instruction, and service. The contents of this file are described in AR II-1.0-1, Page II-6.

The Standard Personnel File must be updated regularly. The faculty member must annually update the curriculum vitae and other documents as deemed appropriate. The department chair/center director updates files as necessary to keep them reasonably current. Unsolicited materials relevant to professional function may be included in the Standard Personnel File provided the faculty member sees them and is offered the opportunity to document his/her response to them.
The Standard Personnel File is kept in the office of the department chair/center director, or in the office of the dean/library director. No other Standard Personnel File is kept. The Standard Personnel File is always available to the faculty member and to such other persons who have authorization, in writing, to see that file. The Standard Personnel File is, of course, always accessible to the department chair/center director or higher administrative officer who is responsible for its maintenance, and to such administrators superior to the faculty member who request access to the file.

**Tenure**: Tenure refers to the appointment award the faculty member receives after serving a probationary period at the university and undergoing a successful evaluation process by colleagues, students, senior faculty and administrators. If the criteria for tenure established by the college and the university have been met, the faculty member earns the award of tenure which confers a life-time appointment as a faculty member upon the individual.

**Tenure-track**: A type of faculty appointment eligible to receive tenure. Examples of these are appointments in the Regular, Special, and Librarian Title Series.

**Title Series**: The term title series refers to a specific type of faculty appointment within the University System. It helps to describe the type of faculty appointment an individual holds and, in general, the criteria and qualifications required to be appointed and promoted. The title series that are most commonly used within the Medical Center are Regular, Special, Librarian, Clinical, Research, Voluntary, and Adjunct series.

**Two-Year Review**: A summary review of the progress a faculty member is making toward tenure which is completed two years after the initial appointment. Depending on the amount of prior service, this review may be skipped (AR II-1.0-5, B., 4.).

**Types of Faculty Appointments**: Definitions of appointment types that an individual may hold in the University system:

**Adjunct Title Series**: This series describes fully qualified teaching, research, and/or creative personnel who are either employed by a non-University agency or by the University in a non-faculty position, but who still contribute significantly to teaching and/or research. This series is used only when the individual's salary is defrayed from non-university funds or more than 50% of their salary is from funds related to a University non-faculty position. The Provost shall approve the establishment of each position to be filled by an appointment in this series. Approval shall include an appraisal of the level of teaching to be performed in the position. Individuals in this series are not eligible for tenure, sabbatical leave, faculty retirement, insurance benefits, or election to the University Senate, but they may be conferred voting privileges by the unit faculty. However, the individual who is a full-time employee of the University in a non-faculty position is entitled to the appropriate retirement and insurance benefits for that position.

**Clinical Title Series**: This is a non-tenure-track series. Position responsibilities relate primarily to clinical practice and service to clients/patients. Primary responsibilities include providing patient care services, exposing students to professional expertise, and directing students’ educational experience in the clinical settings where the faculty member practices. An individual appointed in this title series serves as a clinical supervisor for select students assigned by the faculty responsible for the course or program. Approval of the appointment and promotion criteria by the appropriate area committee must be obtained before approval is given, by the Provost, to create the position. Appointment in this title series is for a specific term, not to exceed three years for instructor or five years for assistant
professor, associate professor, or professor, and may be for a lesser period of time depending on the funding available. A faculty member may be reappointed for additional terms based upon continued funding and the individual's performance. An individual appointed in this title series is eligible for all faculty benefits except tenure and sabbatical leave. Individuals in this title series do not vote on appointments, promotions or tenure of faculty in the Regular or Special Title Series, but may be conferred other voting privileges by the unit faculty.

- **Joint Appointments:** Joint appointments are made when an individual holds two or more intra-University faculty appointments, e.g., joint between departments within the same college or between different colleges and/or sectors. One appointment must be considered the primary appointment. Academic rank in the joint appointment is often the same as the rank held in the primary appointment, but it may differ. A dossier and referral to an area committee are not required for joint appointments or joint promotions. The individual may be conferred voting privileges by the unit faculty.

- **Part-Time Appointments:** Part-time faculty members have an official faculty appointment, receive a salary, and participate substantially, but less than full-time, in the program of a college/center. Approval of part-time appointments is by the Dean without a recommendation from an area committee. Appointments may be made for a one year period, and may be renewed. Part-time faculty are not eligible for tenure, sabbatical leave, membership in the University Senate, or retirement benefits, but may be conferred voting privileges by the unit faculty. Part-time faculty are eligible for health insurance coverage at full cost to the faculty member.

- **Post-Retirement Appointments:** There are two types of post-retirement appointments: 1) A retired employee may be appointed by the dean after recommendation from the department chair/center director to perform specific duties. However, fee schedules must have been previously submitted by the college and approved by the Provost. There is no age limitation on this type of appointment. 2) In a very limited number of cases, a post-retirement appointment may be used when the work performed by the person is essential to a University unit or when it would be otherwise impossible to fill a position with a fully qualified person. In that case, a former employee who has retired may be re-employed to fill the position on either a part-time or full-time basis for a period not to exceed one year. The appointment can be renewed on a fiscal year basis. Approval through the Medical Center Chancellor's Office and the Board of Trustees is required. A recommendation from an area committee is not needed.

- **Regular Title Series:** This is a tenure-track series with a maximum seven year probationary period. Three areas of activity are relevant in the appointment and promotion of faculty in the Regular Title Series: teaching, research and other creative productivity, professional status and activity, and University and public service. No position description is required. Reappointment is made on a year-to-year basis until tenure is obtained or employment terminated. An individual appointed to this title series is eligible for tenure, sabbatical leave, faculty retirement benefits, insurance benefits, and election to the University Senate. Voting privileges on tenure or on promotion affecting persons of equal or higher rank may be conferred to junior regular title faculty by the unit faculty.

- **Research Title Series:** This is a non-tenure-track series. Individuals appointed in this title series participate in the University's academic programs but their responsibilities are limited to activities which involve research or other creative activity, are of a limited and specified duration, and are funded by contracts, grants, or other designated funds of the University. A faculty member in the Research Title Series must not have any regularly scheduled teaching or service assignments. Approval of the appointment and promotion criteria recommended by the unit must be made by the dean of the college, the Dean of the Graduate School, and the Provost. Final approval to create the position is given by the Vice President for Research and Graduate Studies. An assistant research professor may be appointed for a term not to exceed 3 years, and an associate research professor may be appointed for a term not to exceed 5 years. Reappointment
for another term is dependent upon available funds and the faculty member's performance. An individual in the Research Title Series is available for faculty retirement and insurance benefits, but is not eligible for tenure or sabbatical leave and may be conferred voting privileges by the unit faculty except on faculty personnel actions.

- **Special Title Series:** This is a tenure-track series with a maximum seven year probationary period. Position responsibilities are concentrated in the areas of teaching and service. Approval of the appointment and promotion criteria by the appropriate area committee must be obtained before approval is given, by the Provost, to create the position. An individual appointed to this title series is eligible for tenure, sabbatical leave, faculty retirement benefits, insurance benefits, and election to the University Senate. Voting privileges on tenure or on promotions affecting persons of equal or higher rank may be conferred to junior Special Title Series faculty by the unit faculty.

- **Temporary Faculty:** The dean/library director may appoint an individual on a temporary basis, if their responsibilities can be completed in a year or less. Faculty with temporary appointments are not eligible for tenure, but time spent in a full-time appointment on a temporary basis at the University of Kentucky must be counted as part of the individual's probationary period should the individual subsequently be appointed full-time in the Regular, Special or Librarian Title Series. Temporary faculty are eligible for health insurance coverage at full cost to the faculty member.

- **Visiting Faculty:** Visiting faculty hold temporary appointments during an academic year, semester, summer session, or other specified term not to exceed one year. The rank used is the same as the faculty member's home academic rank, i.e., visiting professor or visiting associate professor. When the usual academic rank does not appear to be appropriate, the rank of visiting lecturer may be used. Approval is obtained from the Provost upon recommendation of the department chair/center director and the dean/library director without a recommendation from an area committee. A visiting appointment may be either full-time or part-time, and may be either salaried or unsalaried. Visiting faculty are not eligible for faculty benefits, except that full-time, salaried appointments are eligible for health insurance coverage at full cost to the faculty member. Visiting faculty are not eligible for tenure or membership in the University Senate. However, time spent in a full-time appointment on a visiting basis at the University of Kentucky must be counted as part of the individual's probationary period should the individual be subsequently appointed full-time in the Regular, Special, or Librarian Title Series.

- **Voluntary Faculty:** Voluntary faculty members have an official faculty appointment in a department/center, but receive no salary and devote only part of their time to the academic program. They are usually self-employed or hold full-time positions with other institutions and agencies. Procedures for appointment and promotion parallel those for the Special and Regular Title Series, except that outside letters of evaluation, faculty letters of evaluation, and recommendation from an area committee are not required for appointments and promotions.

  Appointments and reappointments are made for a 3-year period. Criteria for academic ranks proposed by the unit of appointment are approved by the Provost. Voluntary faculty are not eligible for tenure, usual faculty benefits, or membership in the University Senate, but they may be conferred voting privileges by the unit faculty.

**Items For Dossier:** Includes definitions for items which are contained in a dossier. They are listed in the order in which they must be included in the dossier. Each item must have a related tab. (See AR II-1.0-1, pages II-8-9, 8/18/98.)

1. **Check List:** The check list itemizes the information that must be included in a faculty member's dossier. It is inserted in the front of the dossier prior to sending the dossier to the Medical Center Chancellor's Office for review.

2. **Dean/Library Director's Letter:** This is the recommendation letter of the dean/library director and, if it differs from the college AP&T Committee's recommendation, an explanation of this difference
is included in the dean/library director's letter to the Provost. The effective date of the proposed action must be listed.

3. Letter from APT Committee: Review by the Appointment, Promotion and Tenure Committee is required for all appointments, promotions and/or tenure proposals at the rank of associate professor or professor, or equivalent. If the dean/library director desires, this committee may be consulted on decisions at the assistant professor or equivalent level, but it is not mandatory. Each college must have an advisory committee that reviews faculty appointment, promotion, and tenure proposals and makes recommendations to the dean/library director. The letter from this committee, stating its recommendation, is then placed in the dossier before it is reviewed by the dean.

4. Signature Form: The signature form ensures that the faculty member has reviewed appropriate items such as the curriculum vitae, the summary of student evaluations, examples of research/creative productivity, transcripts, and the teaching portfolio prior to sending the completed dossier to the Provost's Office. It is signed and dated by the faculty member.

5. Title Page: This page outlines the name and educational credentials of the faculty member under review. The college and department of the faculty member are included. The purpose of the review is specified, i.e., promotion to Associate Professor, Special Title Series, with tenure. The effective date of the proposed action must be listed.

6. Brief biographical information: This page contains the date of employment and the current rank of the faculty member. Names of individuals from whom outside letters of reference were requested by the dean/library director and/or department chair/center director and a brief, biographical statement and the qualifications of each individual is included. Any particular concerns or waivers that would be pertinent for the reviewers to know are included.

7. Affirmative Action Form: This form is only included on new appointments or when a faculty position is changed and different monies are used to support the position, and outlines the number of minority applicants interviewed and offered employment for the appointment under review. It also documents advertisement of the position in accordance with University policy and the reasons why the selected faculty member met the requirements.

8. Position Description (with Letter of Approval): A position description is required when the appointment is in the Special, Clinical, Research, or Adjunct Title Series. A position description outlines in detail the need for the position, the qualifications and specific responsibilities of the position, and criteria for appointment and promotion. Approval of the appointment and promotion criteria by the appropriate area committee must be obtained before approval is given to create the position. The approval letter from the Associate Vice President for Academic and Student Affairs or the Dean must accompany each position description in the dossier.

10. Distribution of Effort (DOE) Form(s)*: The DOE Form delineates the actual work assignment of the faculty member. It is negotiated by the department chair/center director and the faculty member each spring and then approved by the dean. A photocopy of the DOE form for each year of employment since the most recent appointment or promotion is included in the dossier.

11. Summary of Department Chair/Center Director's Consultation with Consulted Faculty at Two and Four-Year Reviews: The summary written at each review of progress toward tenure of the faculty member being considered for promotion/tenure or tenure is included. The reviews are completed at least at two and four year intervals after the initial appointment.

12. Annual Performance Reviews: The annual performance reviews completed by the department chair/center director and approved by the dean since the last appointment, promotion, or tenure
consideration are included. Any summary of work and professional activities prepared by the faculty member in connection with the annual reviews is included.

13. **Current Curriculum Vita**: The curriculum vitae includes information since the last appointment or promotion. The date of the last revision is shown on the curriculum vita.

14. **Transcript from Institution from which Highest Degree was Earned**: The faculty candidate requests an official copy of the transcript from the institution from which his/her highest degree was received. Transcripts are required only for initial appointments.

15. **Department Chair/Center Director’s Letter**: The department chair/center director writes a recommendation letter to the dean on all faculty appointments, promotions, tenure decisions, and changes in status. In all faculty personnel actions, the chair/director’s letter must communicate the department faculty opinion, as well as the chair/director’s recommendation and, if different, state the reason(s) for differing from the department faculty opinion. On an initial appointment, this letter outlines the background and qualifications of the faculty member, and potential contributions to the University. On promotion and tenure decisions, the letter outlines and evaluates the accomplishments of the faculty member.

**NOTE**: The dean of a college without departments has any roles and responsibilities which are delegated to a department chair (GR VII.B.3.). Division directors do not have responsibilities and roles delegated to department chairs/center directors.

16. **Letter of Evaluation from Joint Appointment Unit**: A faculty member may hold secondary appointments in addition to the primary appointment. These are referred to as joint appointments, and a letter of evaluation from the unit administrator where the joint appointment is held is included whenever the candidate has a joint appointment.

17. **Consulted Faculty Letters**: Written judgments from the consulted faculty members of the department/center to which the faculty member is to be appointed, tenured, and/or promoted must be included, except for promotions in the joint appointment. Letters from consulted faculty include comments about research or creative productivity, instruction, service, clinical competence, and/or professional status, as applicable. Large departments may only require consulted faculty letters from the division with which the faculty member is associated, if the rank is assistant professor or below. See Matrix on page 94 for which faculty must be consulted on each type of faculty personnel action.

18. **Outside Department/Inside UK Letters**: Letters from individuals outside of the department/center, but inside the university may be included. Examples are letters from colleagues, administrators, and former students. These letters are not required by the ARs. Policies for inclusion may vary among Medical Center colleges.

19. **Outside UK Letters**: Letters must be included from at least three individuals outside of the university who are qualified to assess the professional status, research/creative productivity, instruction, service, and clinical competence of the faculty member under review.

20. a. **Teaching Portfolio (tenure-track only)**: This is required in appointment or promotion/tenure dossiers for faculty in the Regular and Special Title Series. The portfolio is a structured and selective collection of materials which reflects the faculty member’s instructional philosophy and methods and provides evidence of teaching competence. The portfolio documents instructional activities, qualities, skills, results, and practices. Materials are included which collectively suggest the scope and quality of a faculty member’s instructional contribution. It allows faculty members to describe what they do in the instructional setting, what they aim to achieve and their success. Materials submitted in appointment dossiers do not have to be in the same
(Medical Center) format used in promotion/tenure dossiers. See AR II-1.0-5 for the list of portfolio items required for documentation of teaching and advising.

**NOTE:** Materials for appointments do not have to be submitted in the same format as those required for promotion.

20. **b. Summary of Student Evaluations (non-tenure-track only):** A qualitative and quantitative summary of the evaluations are included. The course number and course title, the number of students evaluating the course, and the period of time the evaluations cover are listed.

21. **Examples of Research or Creativity:** Examples of scholarship may include articles published in refereed professional journals, patents, paper presentations, monographs, abstracts, videotapes, and any other creative productivity deemed appropriate by the faculty member’s college. Only a representative selection of publications since the last appointment or promotion is included. **Items and/or videotapes which are too bulky for inclusion in the dossier are listed.** Lists of research proposals submitted and grants or contracts awarded since the last appointment or promotion are included. Letter(s) from publisher(s) accepting submitted publications are included.

*Not Required for Librarian Title Series*
NEW APPOINTMENTS

A faculty position cannot be offered until the position has been approved, advertised, and the candidate’s credentials reviewed by the department chair/center director and dean/library director. The offer letter must be signed by the dean/library director.

Affirmative Action: An advertisement must appear where qualified candidates in the field of the vacant position may be expected to see it. This effort to notify potentially interested individuals must include notice to minorities and women.

If a department chair/center director wishes to request that the appointment and/or promotion/tenure of a faculty member be reviewed by a different area committee than the one specified in the ARs, a letter of agreement from the individual and supporting letters from the department chair/center director and dean/library director must be forwarded to the Provost for approval at the time of the initial appointment.

The dean/library director, through delegated authority, approves or disapproves a recommendation for initial appointment at the rank of instructor and assistant professor and informs the department chair/center director of the action taken (AR II-1.0-1, II-2, C.). Appointments to instructor or assistant professor positions are processed through the Medical Center Chancellor’s Office in approximately two weeks. (Unusual circumstances require additional lead time).

Approximately four to six weeks are necessary to process appointments at the associate professor/professor levels through the Medical Center Chancellor’s Office. A dossier must be reviewed by the college/library Appointment, Promotion, and Tenure Committee, the appropriate area committee and approved by the Provost, Provost, President, and Board of Trustees. Approval of a position description, including appointment and promotion criteria, in the Special, Clinical, Research, and Adjunct Title Series is necessary prior to the position being established and advertised.

Individuals cannot remain at the rank of instructor in the University System for more than three years. After two years, if it appears that promotion to a higher rank cannot be justified, the third year must be a terminal appointment (AR II-1.0-1, III.F., Page III-3).

Position Descriptions

A position description is required for new positions in the Special, Clinical, Research, and Adjunct Title Series. The appropriate area committee reviews position descriptions for Special and Clinical Title Series. A position description template can be found on page 83.

Position descriptions are written and submitted immediately after the decision to fill a vacant position has been authorized or just before the proposal to establish a new position. This is done prior to advertising for the position in order that the area committee has plenty of time to review it and make suggested changes. A position description must be submitted and approved, as appropriate, before an appointment can be made.

In recommending the establishment of one or more new special title positions and related criteria for appointment and promotion, the initiating educational unit prepares supporting material which demonstrate the need for such a position and proposes criteria for appointment and promotion to each of the four ranks in the special title series. When the applicable criteria for appointment and promotion have been approved previously for the same type of special title positions, a statement of this action is included in the supporting material and the listing of proposed criteria may be omitted.
After review and approval, the dean of the college shall forward the educational unit’s recommendation and supporting material to the Provost. The Provost shall, if such have not been previously approved, refer the pertinent criteria for appointment and promotion to the appropriate Area Committee for evaluation, suggestions on any desirable and/or necessary revision, and approval. After approval of the criteria by an Area Committee, the Provost shall approve or disapprove the educational unit’s recommendation for the establishment of new Special Title Series positions.

To establish a position in the Medical Center clinical title series, the department chair/center director of the initiating educational unit: (1) after consultation with the faculty, prepares a statement demonstrating the need for such a position and indicates the source, amount, and term of funding for the position, and (2) obtains approvals of the statement by the dean and the Provost.

To establish a position in the Adjunct Title Series, the initiating educational unit prepares a statement demonstrating the need for such a position and includes an appraisal of the level of teaching to be performed in the position. After review and approval, the dean forwards the educational unit’s recommendation and supporting material to the Medical Center Chancellor’s Office. The Provost, approves the establishment of each position to be filled in the Medical Center by an appointment in the Adjunct Title Series.

To establish a position in the Research Title Series, the initiating educational unit (1) prepares a proposal demonstrating the need for such a position and indicates the source, amount, and term of funding for the program of research or creative activity to which the position is related, and (2) obtains approvals of the proposal by the chief administrative officer of the concerned educational unit, the dean of the college, including the Dean of the Graduate School, the Provost, with final approval of the Vice President for Research and Graduate Studies.
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<th>TITLE SERIES/CRITERIA</th>
<th>Teaching</th>
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<th>Creative Productivity</th>
<th>Professional Status</th>
<th>Professional Activity</th>
<th>*Clinical Practice</th>
<th>University Service</th>
<th>Public Service</th>
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<td>National/International</td>
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*If in a clinical department/division may count as University Service.

**May be required, if a part of job description and D.O.E.

@Not required, may be included if a college requirement.
Statement For Recruitment And Selection Of Faculty

The University of Kentucky is a land grant institution with a three-fold mission of instruction, research and service. It serves students and scholars across the Commonwealth of Kentucky and beyond its borders. The academic units, faculties, programs and students are heterogeneous. The aim of the University is to recruit and select outstanding faculty members.

Each educational unit of the University of Kentucky before selecting a faculty member must assure that the following standards are met:

✓ a vacant position is identified and authorized, subject to availability of funds.
✓ the position is described, including minimum requirements.
✓ the position is announced/advertised.
✓ a screening process to select one or more finalists is utilized.
✓ for finalists, employment and personal history inquiries are conducted.
✓ one or more finalists are interviewed.
✓ a recommendation for appointment is made, or, in the event that no recommendation is made, the search is re-opened or terminated.
✓ The candidate selected is offered the position.

Applicable University Governing and Administrative Regulations for appointments must be followed (AR II-1.0-10).

Prior Service

The ending date of the probationary period in a non-tenured 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. Previous full-time service with the rank of instructor or higher at another institution of higher learning shall not be counted as part of the probationary period. A non-tenure period of less than seven years may be negotiated between the appointee and the dean prior to the initial appointment.

Probationary Periods

Probationary periods (or maximum non-tenure periods) apply to non-tenured appointments of faculty members on a full-time, year-to-year basis in the Regular, Special, Extension, and Librarian Title Series. The total non-tenured period cannot exceed seven years unless one of the following provisions applies: AR II-1.1-12 (Family Medical Leave); GR X.C.7 (leave for duration of an election or term of office); GR X.C.5.d. (educational leave); or for other leaves of absence where the University, in granting the leave, and the individual, in accepting it, agree that time spent on the leave of absence shall not count as probationary period service. Except as provided in Part X.C.5.d. and X.C.7., 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.

Non-tenured faculty members may apply for an extension of the probationary period of 26 weeks beyond the date given on the original Notice of Primary Academic Appointment and Assignment if they take Family and Medical Leave of six weeks or more. If the total of Family and Medical Leave,
during the probationary periods, exceeds 26 weeks, the faculty member may apply for an extension of one year beyond the date given in the original Notice of Primary Academic Appointment and Assignment (AR II-1.1-12, III, L.).

To apply for an extension of the probationary periods related to FML, the faculty member must file a written request for an extension of the probationary period with the dean, no later than the last day of the fifth year of the probationary period. Failure to make such a request in the time period stipulated may be excused by the Provost on showing by the faculty member of an exceptional reason for the failure to comply.

The faculty member whose application for an extension is approved is not expected to present a record of accomplishment different from that expected for a probationary period of normal length.

Tenure-Track Initial Appointments

The Regular, Special and Librarian Series are tenure-track positions which are supported by a state funded line in the budget. A Regular Title Series position can be changed to another title series position by creating a position description and getting it approved through the appropriate area committee. The Administrative Regulation affecting appointments and promotions in the Regular Title Series was amended effective January 1, 2000. Therefore, faculty appointed prior to January 1, 2000 are evaluated on the Administrative Regulation effective September 20, 1989 and those appointed January 1, 2000 and after are evaluated on the revised Administrative Regulation.

A. Regular Title Series: Regular Title Series positions require a position description. The distribution of effort (DOE) form contains a balance among teaching, research and patient care and/or service.

Assistant and associate professors appointed in this series with a probationary period agreement of three or more years are reviewed at least during their second and, where applicable, and fourth years and advised of their progress toward earning tenure. If it is determined in the first or second year that the individual would be better suited for a different title series, the change occurs at this time in lieu of waiting until later when the tenure decision is imminent. Otherwise, it may appear that the change is being requested because requirements for promotion and/or tenure were not met in the individual’s current title series.

Upon initial appointment in this series, the individual is given a maximum seven year probationary period (less if prior academic service is negotiated at time of appointment). It is mandatory that the individual be considered for promotion and tenure in the sixth (6th) year, unless the individual requests, in writing, that such not be done because of resignation or willingness to accept a terminal reappointment. If tenure is denied, the seventh year is the terminal appointment year. However, the individual can be recommended for promotion and tenure during the terminal year.

1. Assistant Professor: An individual initially appointed at this rank is given a maximum seven year probationary period to achieve tenure (less if prior academic service is negotiated at time of appointment).

2. Associate Professor: An individual initially appointed at the rank of associate professor, without tenure, is given a maximum seven year probationary period to achieve tenure. However, this can be negotiated between the appointee and the dean prior to initial appointment.

3. Professor: Initial appointment at the rank of professor, without tenure, can be for one year only. The individual is considered for tenure toward the end of the ninth month.
B. **Special Title Series:** The Special Title Series is a tenure-track line supported by state funds and requires a position description. The distribution of effort (DOE) form contains a balance between teaching and service. The criteria for appointment and/or promotion includes recognition on a regional level for the rank of associate professor and recognition at the national or international levels for the rank of professor.

Upon initial appointment in this series, the individual is given a maximum seven year probationary period (less if prior academic service is negotiated at time of appointment). Individuals are reviewed during their second and fourth years and advised of their progress toward achieving tenure. It is mandatory that the individual be considered for promotion and tenure in the sixth (6th) year **unless the individual requests, in writing, that such not be done because of resignation or willingness to accept a terminal reappointment.** If tenure is denied, the seventh year is the terminal appointment year. However, a recommendation for promotion and tenure can occur during the terminal year.

1. **Assistant Professor:** An individual initially appointed at this rank is given a maximum seven year probationary period to achieve tenure (less if prior academic service is negotiated at time of appointment).

2. **Associate Professor:** An individual initially appointed at the rank of associate professor, without tenure, is given a maximum seven year probationary period to achieve tenure. However, this can be negotiated between the appointee and the dean prior to initial appointment.

3. **Professor:** Initial appointment at the rank of professor, without tenure, can be for one year only. The individual is recommended for tenure toward the end of the ninth month.

**Tenured Initial Appointments**

A tenured initial appointment at the rank of associate professor or professor must have strong support from the tenured faculty of the department/center as well as strong outside letters. The outside letters are from individuals who are familiar with the potential faculty members’ work and reputation on a state/regional and/or national or international levels (depending on rank) rather than from colleagues.

The dossier for a tenured initial appointment must be submitted to the college/library Appointment, Promotion and Tenure Committee and, if approved, forwarded to the appropriate area committee for review. The area committee makes a recommendation to the Provost, as does the Associate Vice President for Academic and Student Affairs and the Dean of the Graduate School and, if approved by the Provost, the appointment is sent to the Provost who forwards it to the President for approval and then to the Board of Trustees for final approval. Once received in the Medical Center Chancellor’s Office, approximately four to six weeks are necessary to process appointments at the level of associate professor or professor regardless of whether it is with or without tenure.

**Non-Tenure-Track Initial Appointments**

Non-tenure-track appointments include the Clinical, Research, and Adjunct Title Series, as well as Part-Time, Voluntary, Visiting, Temporary, Post-Retirement, Joint, Lecturer, and Emeritus appointments.

A. **Clinical Title Series:** Clinical Title Series appointments require a position description. Revenue generated by clinical faculty activities would be applied to a variety of faculty expenses (including but not limited to compensation, i.e., salary). Salary for Clinical Title Series positions can be taken
from general funds for a short period of time at start-up, but must be generated entirely from clinical income thereafter.

The DOE (Distribution of Effort) form for a faculty member appointed in this title series indicates the amount of effort expected.

1. **Instructor/Assistant Professor**: An individual initially appointed at the rank of instructor in the Clinical Title Series can be promoted to the next level when the requirements are met for promotion in accordance with the criteria listed in the position description.

2. **Associate Professor/Professor**: In the Clinical Title Series, an individual can be initially appointed at the rank of associate professor or professor provided the criteria for appointment as listed in the position description have been met. They can remain at either rank indefinitely.

B. **Research Title Series**: The Research Title Series requires a position description approved by the administrative office of the concerned educational unit, the dean of the college, the associate dean for research, the Provost, and the Dean of the Graduate School, with final approval of the Vice President for Research. Faculty salary and benefits are funded from individual grants and/or contracts. However, state funding can be used for salary, with approval of the Provost, when there is a gap of six months or less between approved contracts, grants or other sources of designated funds. However, in such circumstances, the appointee’s assignment must be consistent with the duties which the individual had and will be expected to continue. There is no instructor level in the Research Title Series.

1. **Assistant Professor**: An individual initially appointed at the rank of assistant professor can remain at this level indefinitely. However, the individual can be promoted to the next level when the requirements for promotion are met in accordance with the criteria listed in the position description.

2. **Associate Professor/Professor**: An individual in the Research Title Series can be initially appointed at the rank of associate professor or professor provided they have met the criteria for appointment and promotion as listed in the position description. They can remain at either rank indefinitely.

C. **Adjunct Title Series**: The Adjunct Title Series requires a position description and is a part-time appointment. An individual appointed in this series must have more than 50% of their salary defrayed from non-University funds or from funds related to a University non-faculty position. Involvement of an area committee is not required for appointments or reappointments.

1. **Instructor/Assistant Professor**: In the Adjunct Title Series, an individual appointed at the rank of instructor can be promoted to the next level when the requirements for promotion are met in accordance with the criteria for appointment and promotion listed in the position description.

2. **Associate Professor/Professor**: An individual can be initially appointed at either rank in the Adjunct Title Series provided they have met the criteria for appointment and promotion as listed in the position description. They can remain at either rank for an indefinite period of time.

D. **Part-Time Appointments**: Part-time position may be unsalaried and participate substantially, but less than full-time, in the program of a college. No position description or advertisement for the position is required for appointment as a part-time faculty member. Part-time faculty appointees are not eligible for tenure.

Appointments of part-time faculty members are approved by the dean of the college and the Provost without referral to an area committee.
E. Voluntary Appointments: Voluntary faculty members are those who have an official part-time faculty appointment in a college for which no salary is received and who devote part of their time to an academic program. Such faculty members are usually self-employed or hold full-time positions with other institutions or agencies. No position description is required to appoint an individual as a voluntary faculty member.

Procedures for appointment and promotion generally parallel those for the Regular or Special Title Series except no outside letters are required and the dossier is not reviewed by an area committee. To appoint an individual at any rank, the department chair/center director’s letter, the “Voluntary Faculty Appointment Form”, which takes the place of a curriculum vitae, and individual insurance documentation, are required. While these are the minimum requirements necessary to appoint voluntary faculty, requirements may vary among colleges/departments/centers.

A health practitioner in private practice, who participates in the training of students (medical, dental, pharmacy, nursing, allied health) must have an official voluntary faculty appointment. If they wish to do any patient care within the University Hospital, they must apply for hospital privileges and be approved.

NOTE: Voluntary faculty are appointed and reappointed every three years (current cycle is 7/1/00 through 6/30/03). Any new appointments made until the end of this cycle are through 6/30/03. Demographic and insurance updates are requested at time of reappointment.

F. Visiting Appointments: Visiting faculty hold temporary appointments for an academic year, semester, summer session, or other specified term not to exceed one year. The visiting title used is appropriate to the faculty member’s home base academic rank, for example, visiting professor or visiting associate professor. When the usual academic rank or title does not appear to be appropriate, the title, visiting lecturer, may be used. Approval is made through the Medical Center Chancellor’s Office upon recommendation of the department chair/center director and the dean/library director without reference to an area committee. A visiting appointment may be either full-time or part-time, and may be either salaried or unsalaried. Visiting faculty are not eligible for faculty benefits, except that visiting faculty in full-time, salaried appointments are eligible for health insurance coverage at full cost to the faculty member. Visiting faculty are not eligible for tenure or membership in the University Senate. However, time spent in a full-time appointment on a visiting basis at the University of Kentucky is counted as part of the individual’s probationary period if the individual is subsequently appointed full-time in the Regular, Special, or Librarian Title Series.

G. Temporary Appointments: The dean of a college may appoint an individual on a temporary basis, if their responsibilities can be completed in a year or less. Faculty with temporary appointments are not eligible for tenure, but time spent in a full-time appointment on a temporary basis at the University of Kentucky is counted as part of the individual’s probationary period if the individual is subsequently appointed full-time in the Regular, Special or Librarian Title Series. Temporary faculty are eligible for health insurance coverage at full cost to the faculty member.

H. Post-Retirement Appointments: There are two types of post-retirement appointments: 1) A retired employee may be appointed by the dean after recommendation from the department chair/center director to perform specific duties. However, fee schedules need to have been previously submitted by the college and approved by the Provost. There is no age limitation on this type of appointment. 2) In a very limited number of cases, a post-retirement appointment may be used when it is essential to a University unit or when it would be otherwise impossible to fill a position with a fully qualified person. In that case, a former employee who has retired may be re-employed to fill the position on either a part-time or full-time basis for a period not to exceed one year. (Approval through the Medical Center Chancellor’s Office and the Board of Trustees is required. A recommendation from an area committee is not needed.)

I. Joint Appointments: The term “joint appointment” applies when an individual holds two or more intra-University faculty appointments. The joint appointment can be in different departments in the
same college, departments in different colleges, or departments in different sectors. In such cases, one appointment must be designated as the primary appointment. Faculty holding joint appointments are not eligible for tenure. No position description is required for a joint appointment. The possibility of tenure applies only to the primary appointment. The joint appointment may be made simultaneously with the primary appointment or at a different time. The academic rank may be the same in the joint appointment as is concurrently held in the primary appointment (see Flowcharts beginning on page 36).

J. Lecturer: Lecturers are professionally qualified teachers hired for a fixed term. Lecturers do not have the same responsibilities and professional obligations of faculty in Regular, Special Title, Extension or Librarian Series. Appointment as a lecturer shall not be made when appointment as an instructor or assistant professor is appropriate.

Approval is obtained from the Provost after recommendation by the department chair/center director and dean/library director and is not reviewed by an area committee. Lecturers may be appointed for a term not to exceed nine months, subject to renewal. A lecturer may be reappointed for one or more additional terms. Appointments as lecturer expire at the end of the term without notice. While no obligation exists on the part of the University to give notice as to whether an appointment as lecturer will be renewed, good practice suggests as much notice as possible.

Lecturers are not eligible for tenure or sabbatical leave. If a lecturer subsequently is appointed in the Regular, Special Title, Extension or Librarian Series, time spent as a lecturer shall not count toward eligibility for sabbatical leave nor as a part of the individual’s probationary period. Lecturers are eligible for faculty membership, with voting privileges in the University Senate and in the educational units to which they are assigned. Lecturers with full-time nine month appointments are eligible for the University’s retirement, health care and life insurance plans. Sick leave may be granted by the Provost.

K. Emeritus: Emeritus is used after the rank of an individual who is retired to denote an honorary title, for example, Associate Professor Emeritus. This is an automatic appointment and nothing needs to be submitted when a faculty member retires. Refer to AR II-1.0-1, II-11, T. for a complete list of benefits applicable for Emeritus appointments.
### APPOINTMENT AND ASSIGNMENT PERIODS

<table>
<thead>
<tr>
<th>Length of Assignment Period</th>
<th>9 Months</th>
<th>10 Months</th>
<th>11 Months</th>
<th>12 Months</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dates of Assignment</td>
<td>August 16 – May 15</td>
<td>August 1 - May 31</td>
<td>August 1 - June 30 (Or other as approved by the Senior Vice President/Chancellor)</td>
<td>July 1 - June 30</td>
</tr>
<tr>
<td>Other Stipulations:</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Does Not Apply</td>
</tr>
<tr>
<td>Faculty members are required to remain through commencement and complete reports. Required to return to campus no later than 3 days before fall registration.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vacation Accrues During Assignment Period</td>
<td>Does Not Apply</td>
<td>22 Working Days, With Administrative Approval</td>
<td>22 Working Days, With Administrative Approval</td>
<td>22 Working Days, With Administrative Approval</td>
</tr>
<tr>
<td>Vacation Accrues To Next Assignment Period</td>
<td>Does Not Apply</td>
<td>Not Normally, Requires Approval By Senior Vice President/Chancellor</td>
<td>Not Normally, Requires Approval By Senior Vice President/Chancellor</td>
<td>May Be Taken During Present Or Subsequent Assignment Period</td>
</tr>
<tr>
<td>University Employment Between Regular Assignment Periods (maximum/annum)</td>
<td>3 Months Or 66 Working Days</td>
<td>2 Months Or 44 Working Days</td>
<td>1 Month or 22 Working Days</td>
<td>Does Not Apply</td>
</tr>
<tr>
<td>University Employment Maximum Compensation</td>
<td>Daily</td>
<td>1/195 Of Regular 9-Month Salary Of The Fiscal Year</td>
<td>1/217 Of Regular 10-Month Salary Of The Fiscal Year</td>
<td>1/238 Of Regular 11-Month Salary Of The Fiscal Year</td>
</tr>
<tr>
<td></td>
<td>Monthly</td>
<td>1/9 Of Regular 9-Month Salary Of The Fiscal Year</td>
<td>1/10 Of Regular 10-Month Salary Of The Fiscal Year</td>
<td>1/11 Of Regular 11-Month Salary Of The Fiscal Year</td>
</tr>
</tbody>
</table>

#### Notes:
- Daily pay rates are calculated as a fraction of the annual salary based on the number of days in the term.
- Monthly pay rates are calculated as a fraction of the annual salary based on the number of months in the term.
Matrix of Required Consultation and Written Judgments from Unit Faculty

<table>
<thead>
<tr>
<th>Consultation with, or written judgment of:</th>
<th>New appointment: temporary, part-time, visiting, voluntary, post-retire.</th>
<th>New appt.: asst., assoc. and prof. In regular, special, clinical, research, or adjunct title series or joint</th>
<th>Promotion to Assoc. Professor w/tenure</th>
<th>Promotion to Professor</th>
<th>Tenure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Each tenured professor¹</td>
<td>C</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
</tr>
<tr>
<td>Each tenured associate professor¹</td>
<td>C</td>
<td>R</td>
<td>R</td>
<td>I</td>
<td>R</td>
</tr>
<tr>
<td>Each untenured asst/assoc professor in dept. 2 or more years¹</td>
<td>C</td>
<td>R</td>
<td>I</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>Each tenured faculty member¹</td>
<td>C</td>
<td>R</td>
<td>R</td>
<td>I</td>
<td>R</td>
</tr>
<tr>
<td>Untenured, tenure-track faculty in dept. less than 2 years; non-tenure-track series¹</td>
<td>P</td>
<td>I</td>
<td>I</td>
<td>I</td>
<td>I</td>
</tr>
<tr>
<td>Directors of MDC²</td>
<td>C</td>
<td>R</td>
<td>R</td>
<td>R</td>
<td>R</td>
</tr>
</tbody>
</table>

C = Consultation required, but not written judgment.  
I = Written judgments not required, but may be invited to write.  
R = Written judgments required from consulted faculty.

¹Faculty persons appointed in the research and clinical title series are not eligible to vote on matters relating to faculty appointment, retention, promotion or tenure, except that clinical title series faculty shall be consulted and submit written judgments on matters relating to clinical title series faculty. Also, faculty members on approved leaves of absence, and faculty with primary administrative, service or other assignments outside of the department may, but are not required to, provide written judgments on all recommendations.

²Directors of Multidisciplinary Research Centers and Institutes in which a faculty member under review has an appointment.
To Appoint - INSTRUCTOR OR ASSISTANT PROFESSOR
(REGULAR, SPECIAL OR CLINICAL TITLE SERIES)

Compile dossier in the following order:

1. Check List
2. Dean/Director's Letter
3. Signature Form
4. Title Page
5. Information Page
6. Affirmative Action Form
7. Position Description (with letter of approval) for Special and Clinical Title Series positions
8. DOE Form (projected)
9. Current CV
10. Official transcript from Institution from which Highest Degree was Earned
11. Department Chair/Center Director’s Letter
12. Letter of Evaluation from Joint Appointment Unit (if applicable)
13. Consulted Faculty Letters
14. Outside Department/Inside U.K. Letters (not required by ARs – follow college guidelines)
15. Outside U.K. Letters
16. Examples of Research/Creative Productivity (for Regular or Special Title Series and only if required by college)
17. Teaching materials (courses taught and/or student evaluations)

Enter appointment in the data base and forward original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.
To Appoint - ASSISTANT PROFESSOR (RESEARCH TITLE SERIES)

Compile dossier in the following order:

1. Check List
2. Dean/Director's Letter
3. Signature Form
4. Title Page
5. Information Page
6. Affirmative Action Form
7. Position Description (with letter of approval)
8. DOE Form (projected)
9. Current CV
10. Official transcript from Institution from which Highest Degree was Earned
11. Department Chair/Center Director's Letter
12. Letter of Evaluation from Joint Appointment Unit (if applicable)
13. Consulted Faculty Letters
14. Outside Department/Inside U.K. Letters (not required by ARs – follow college guidelines)
15. Outside U.K. Letters
16. Examples of Research/Creative Productivity

Enter appointment in the data base and forward original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.
To Appoint - ASSOCIATE PROFESSOR OR PROFESSOR
(REGULAR, SPECIAL OR CLINICAL TITLE SERIES)

Compile dossier in the following order:

1. Information for Appointment/Promotion/Tenure Dossiers Sheet
2. Check List
3. Dean/Director’s Letter
4. Letter from APT Committee
5. Signature Form
6. Title Page
7. Information Page
8. Affirmative Action Form
9. DOE Form (projected)
10. Current CV
11. Transcript from Institution from which Highest Degree was Earned
12. Department Chair/Center Director’s Letter
13. Letter of Evaluation from Joint Appointment Unit (if applicable)
14. Consulted Faculty Letters
15. Outside Department/Inside U.K. Letters (not required by ARs – follow college guidelines)
16. Outside U.K. Letters
17. Teaching materials (courses taught and/or student evaluations)
18. Examples of Research/Creative Productivity (for Regular or Special Title Series)

Enter appointment in the data base and forward original and one copy of the dossier to the Medical Center Chancellor’s Office. Two copies of the complete dossier must be forwarded.

The appropriate area committee and the Dean of the Graduate School review the dossier and make a recommendation to the Provost. The dossier is then reviewed by the Associate Vice President for Academic and Student Affairs and a recommendation is forwarded to the Provost.

The Provost reviews the recommendations and makes his recommendation to approve or disapprove the appointment. He, then, forwards the dossier, with the recommendations given by all levels (including his recommendation) to the Provost. The Provost reviews the dossier and forwards the dossier, with his recommendation, to the President for his decision.

The Provost returns the dossier to the Medical Center Chancellor’s Office with the decision of the President.
The dean is notified of the President's decision and, if approved, an EO1 and EO2 form are forwarded to the Medical Center Chancellor’s Office. The Medical Center Chancellor’s Office forwarded the appointment to the Board of Trustees for final approval.
To Appoint - ASSOCIATE PROFESSOR OR PROFESSOR
(Research Title Series)

Compile dossier **in the following order:**

1. Information for Appointment/Promotion/Tenure Dossiers Sheet
2. Check List
3. Dean/Director’s Letter
4. Letter from APT Committee
5. Signature Form
6. Title Page
7. Information Page
8. Affirmative Action Form
9. DOE Form (projected)
10. Current CV
11. Transcript from Institution from which Highest Degree was Earned
12. Department Chair/Center Director’s Letter
13. Letter of Evaluation from Joint Appointment Unit (if applicable)
14. Consulted Faculty Letters
15. Outside Department/Inside U.K. Letters (not required by ARs – follow college guidelines)
16. Outside U.K. Letters
17. Examples of Research/Creative Productivity

Enter appointment in the data base and forward original and one copy of the dossier to the Medical Center Chancellor’s Office.

The appropriate area committee and the Dean of the Graduate School review the dossier and make a recommendation to the Provost. The dossier is then reviewed by the Associate Vice President for Academic and Student Affairs and a recommendation is forwarded to the Provost.

The Provost reviews the recommendations and makes his recommendation to approve or disapprove the appointment. He, then, forwards the dossier, with the recommendations given by all levels (including his recommendation) to the Provost. The Provost reviews the dossier and forwards the dossier, with his recommendation, to the President for his decision.

The Provost returns the dossier to the Medical Center Chancellor’s Office with the decision of the President.
The dean is notified of the President's decision and, if approved, an EO1 and EO2 form are forwarded to the Medical Center Chancellor's Office. The Medical Center Chancellor's Office forwarded the appointment to the Board of Trustees for final approval.
To Appoint – INSTRUCTOR, ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR OR PROFESSOR (ADJUNCT TITLE SERIES)

Compile dossier in the following order:

1. Check List
2. Dean/Director's Letter
3. Signature Form
4. Title Page
5. Information Page
6. Position Description (with letter of approval)
7. Transcript from Institution from which Highest Degree was Earned
8. Department Chair/Center Director’s Letter
9. Letter of Evaluation from Joint Appointment Unit (if applicable)
10. Consulted Faculty Letters
11. Outside Department/Inside UK Letters (not required by ARs – follow college guidelines)
12. Outside U.K. Letters
13. Examples of Research/Creative Productivity (optional)

Enter appointment in the data base and forward original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.
To Appoint - INSTRUCTOR, ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR, OR PROFESSOR (PART-TIME)

Compile dossier in the following order:

1. Check List
2. Dean/Director’s Letter
3. Signature Form
4. Title Page
5. Information Page
6. Current CV
7. Transcript from Institution from which Highest Degree was Earned
8. Department Chair/Center Director’s Letter
9. Letter of Evaluation from Joint Appointment Unit (if applicable)
10. Summary of Student Evaluations (optional)
11. Examples of Research/Creative Productivity (optional)

Enter appointment in the database and forward original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.
To Appoint - INSTRUCTOR, ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR, OR PROFESSOR (TEMPORARY OR VISITING*)

Compile dossier in the following order:

1. Check List
2. Dean/Director’s Letter
3. Signature Form
4. Title Page
5. Information Page
6. DOE Form (projected)**
7. Current CV
8. Transcript from Institution from which Highest Degree was Earned
9. Department Chair/Center Director’s Letter
10. Letter of Evaluation from Joint Appointment Unit (if applicable)
11. Consulted Faculty Letters
12. Examples of Research/Creative Productivity (optional)

*Visiting instructor, assistant professor, associate professor or professor can be full-time or part-time, salaried or unsalaried. Use instructions for temporary or part-time, whichever is applicable to your appointment proposal. Approval by the Provost is required for an appointment at any rank in the Visiting Title Series.

**For full-time appointments only.

Enter appointment in the data base and forward original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.
To Appoint - INSTRUCTOR, ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR OR PROFESSOR (JOINT)

Obtain material:

1. Need letters:
   ✓ From department chair/center director of candidate’s prime position to dean of candidate’s prime position.
   ✓ From department chair/center director of candidate’s joint position to dean of candidate’s prime position.
   ✓ From dean/director of candidate’s joint position to the dean of the candidate’s prime position.
   ✓ From dean/director of candidate’s prime position to the Provost.
   ✓ Candidate’s letter requesting joint appointment, if available
   ✓ From consulted faculty (see AR-II-1.0-1.II.H., paragraph six, sentence two).

2. Updated Curriculum Vitae

The primary department/college enters the joint appointment in the data base and forwards the original material with EO1 and EO2 forms to the Medical Center Chancellor’s Office. For more specific flow charts on the handling of joint appointments, see pages 35-38.

To Appoint – FULL-TIME LECTURER*

Compile dossier in the following order:

1. Check List
2. Dean/Director’s Letter
3. Signature Form
4. Title Page
5. DOE Form (projected)
6. Current CV
7. Transcript from Institution from which Highest Degree was Earned
8. Department Chair/Center Director’s Letter
9. Letter of Evaluation from Joint Appointment Unit (if applicable)
10. Consulted Faculty Letters

*Approval by the Provost is required for an appointment as lecturer.

Enter appointment in the data base and forward original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.
To Appoint - INSTRUCTOR, ASSISTANT PROFESSOR, ASSOCIATE PROFESSOR OR PROFESSOR (VOLUNTARY)

Obtain material:

1. Department chair/center director’s Letter*
2. Voluntary Application Form, including documentation of malpractice insurance which have been certified by the dean or, for the College of Medicine, the Associate Dean for Clinical Affairs
3. Letter from the Dean

Enter appointment in the data base and forward original material with EO1 and EO2 forms to the Medical Center Chancellor’s Office.

To Appoint - EMERITUS AND POST-RETIREMENT (ALL LEVELS)

Emeritus: This distinction is given to a faculty member automatically when he/she retires. No paperwork has to be submitted.

Post-Retirement: There are two types of post-retirement appointments:

1. A retired employee may be given a post-retirement appointment to perform specific duties for a short period of time (less than one year). However, fee schedules need to have been previously submitted by the unit and approved by the Provost. There is no age limitation on this type of appointment.

   The following procedure is used for this type of post-retirement appointment:

   a. The department chair/center director forwards a request to the dean/library director, including the name of the person, duties to be performed, salary, dates of employment, and an updated curriculum vitae.

   b. The appointment is entered in the data base and an EO1 and EO2 form are forwarded with the package to the Provost for approval.

   c. The Provost approves/disapproves the request and informs the dean/library director of his decision. The type of appointment is not forwarded to the Board of Trustees.

2. A post-retirement appointment may be used when it is essential to a University unit or when it would be otherwise impossible to fill a position with a fully qualified person. A former employee who has retired may be re-employed to fill the position on either a part-time or full-time basis for a period not to exceed one year. The appointment can be renewed on a fiscal year basis.

   If a faculty member has a post-retirement appointment in one college, they can have an assignment (with pay) in another college without a second post-retirement appointment. The college in which the post-retirement appointment is held should document the assignment and put the record in the faculty Standard Personnel File, with a copy to the second college.

   A faculty member on a post-retirement appointment does not have to be given a faculty performance review.

*Consultation with unit faculty required, but letters from consulted faculty not required.
The following procedure is used for this type of post-retirement appointment:

a. The department chair/center director forwards a request to the dean, including the name of the person, duties to be performed, salary, dates of employment, and an updated curriculum vita*.

b. The appointment is entered in the data base and an EO1 and EO2 form are forwarded with the package to the Provost for approval.

c. The Provosts approves/disapproves the request and informs the dean/library director of his decision.

d. The appointment is forwarded to the President for approval and for final approval by the Board of Trustees.

*Consultation with unit faculty required, but letters from consulted faculty not required.
PROCEDURAL FLOW CHART FOR PROPOSALS ON
INITIAL APPOINTMENT, REAPPOINTMENT, JOINT APPOINTMENT,
TERMINAL REAPPOINTMENT, AND POST-RETIREMENT APPOINTMENT
IN THE UNIVERSITY SYSTEM

Department Chairperson/Director
1. Initiates proposal for initial appointment, reappointment, joint appointment, terminal reappointment, or post-retirement appointment.
2. Prepares dossier relative to proposal, if required.
3. Forwards dossier with recommendation to the dean.

Dean
1. Reviews dossier for completeness.
2. On optional basis, may obtain a recommendation on the proposal from a College Advisory Committee.
3. Approves or disapproves a proposal relative to an instructor, an assistant professor, a post-retirement appointment on a fee schedule basis, or a part-time faculty appointment at any rank, except in a case covered by footnote (*), and informs department chairperson/director of action taken. Approved action is communicated through the chancellor/vice president to the President who reports it to the Board of Trustees.
4. For a proposal concerning a full-time associate professor or professor, forwards dossier with an affirmative recommendation to the appropriate chancellor/vice president or disapproves and stops the proposal and so informs the concerned individual in writing with a copy to the department chairperson/director.
5. If a proposal for reappointment at any rank is disapproved, notifies the individual in writing about a non-renewal of appointment or offers a terminal reappointment, as appropriate. [Check also footnote (**).]

Chancellor/Vice President
1. Reviews dossier for completeness.
2. Approves or disapproves proposal for appointment of visiting faculty member at any rank, or lecturer, without reference to an Academic Area Advisory Committee (or simply Area Committee).
3. For a proposal concerning an initial appointment or a primary appointment in a joint appointment of a full-time associate professor or professor (except one in the visiting title series), obtains a recommendation from the appropriate Area Committee. The Area Committee may, however, request use of an ad hoc committee (appointed by the chancellor/vice president) for further evaluation before returning dossier with Area Committee’s recommendation to the chancellor/vice president. A proposal concerning a reappointment, non-primary reappointment in a joint appointment, terminal reappointment, or post-retirement appointment is not referred to an Area Committee.
4. Obtains a recommendation, if required, from the Dean of the Graduate School.
5. Obtains a recommendation from the Vice Chancellor for Academic Affairs.
6. Reviews the proposal and supporting dossier with all recommendations.
7. Decides on a recommendation and, if negative, informs the dean of the college. The dean informs the individual, in writing, and the department chairperson/director.
8. Forwards recommendation of approval to President.
9. Maintains a documentation file of all recommendations and actions relative to any proposal received.
10. Handles communications from the President to the deans in the chancellor’s/vice president’s sector.

President
1. Reviews proposal.
2. Approves or disapproves proposal. In case of approval, submit affirmative recommendation to the Board of Trustees for final action. In case of disapproval and stopping the proposal, informs the appropriate chancellor/vice president. The chancellor/vice president informs the dean. The dean, in turn, notifies the faculty member, in writing, with a copy to the department chairperson/director.

Board of Trustees
1. Takes final action, i.e., approves or disapproves the President’s recommendation.
2. The President, through the appropriate chancellor/vice president, informs the dean of the Board’s action. The dean, in turn, informs the faculty member in writing with a copy to the department chairperson/director.

(*) Approval by the chancellor/vice president is required, however, for an appointment at any rank in the Visiting Title Series or as lecturer. Also, approval by the Board of Trustees is required for an initial appointment to any faculty position for which the annual salary exceeds $60,000.

(**) Possible action in a case in which the department chairperson’s/director’s recommendation for reappointment for a specific term is rejected by the dean and a terminal reappointment is offered instead is discussed in Section II.F. and II.G. of this AR.
Procedures For A New Joint Appointment
(If Primary And Joint Appointments Are In The Same College)

(The following procedures assume that the joint appointment unit will follow the rules of the faculty in assessing the candidate’s credentials for joint appointment and that the Dean and/or Provost approve the proposal.)

OR

Department Chair of primary appointment unit contacts department chair of potential joint appointment unit.

Department Chair of potential joint appointment unit contacts department chair of primary appointment unit.

✔ Department Chair of primary appointment unit requests letter offering joint appointment from Department Chair of joint appointment unit (“We want faculty member”).
✔ Department Chair of primary appointment unit writes support letter (“OK for my faculty member to have joint appointment”)
✔ Department Chair of primary appointment unit requests letter from faculty member agreeing to joint appointment.
✔ Department Chair/Center Director of joint appointment unit obtains letters from the consulted faculty of the unit.

✔ Primary appointment unit requests Dean’s Office to generate an EO2 form.
✔ Primary appointment unit Dean’s Office enters the joint appointment in the Faculty Data Base, generates the EO2 form and forwards it to primary department unit for faculty member’s signature.

Primary appointment unit has EO2 form signed by faculty member and forwards packet (CV, support letters from Chairs of primary and joint appointment units, letter from faculty member, letters from consulted faculty in joint appointment unit; and EO2 form) to primary appointment Dean’s Office.

✔ Primary appointment unit Dean’s Office secures the Dean’s signature on EO2 form and updates the action in the Faculty Data Base.
✔ Primary appointment unit Dean’s Office generates EO1 form and forwards packet to Chancellor’s Office.

The Chancellor’s Office updates the Faculty Data Base and forwards for approval by/ reporting to the Board of Trustees.

✔ After actions are reported to/approved by the Board of Trustees, the Chancellor’s Office sends a letter to notify the faculty member of his/her joint appointment and forwards a copy of the EO2 form to the faculty member.
✔ The Chancellor’s Office notifies the primary and joint appointment units of new joint appointment by copy of the letter to the faculty member and copy of the EO2 form.
Procedures For A New Joint Appointment
(If Primary And Joint Appointments Are In Different Colleges Or In A Center)

(The following procedures assume that the joint appointment unit will follow the rules of the faculty in assessing the candidate’s credentials for joint appointment and that each concerned Dean and/or Provost's approves the proposal.)

If primary appointment is in a department:

- Joint appointment unit requests generation of EO2 form by primary appointment unit Dean’s Office.
- Primary appointment unit Dean’s Office enters the joint appointment in the Faculty Data Base and generates the EO2 form.
- Primary appointment unit Dean’s Office forwards the EO2 form to the primary appointment unit for faculty member’s signature.

If primary appointment is in a center:

- Joint appointment unit requests generation of EO2 form by Center Director’s Office.
- Center Director’s Office enters the joint appointment in the Faculty Data Base and generates the EO2 form.
- Center Director’s Office has EO2 form signed by faculty member and forwards packet (CV, support letters from primary and joint appointment units, letter from faculty member, letters from consulted faculty in joint appointment unit, and EO2 form) to the joint appointment unit Dean’s Office.
- Graduate School Dean writes a letter of support and signs the EO2 form.

Primary appointment unit receives EO2 form, has it signed by faculty member, and forwards packet (CV, support letters from primary and joint appointment units, letter from faculty member, letters from consulted faculty in joint appointment unit, and EO2 form) to joint appointment unit Dean’s Office for Dean’s signature on the EO2 form and letter of endorsement from joint appointment unit Dean.

Joint appointment unit Dean’s Office secures the Dean’s signature on EO2 form and forwards packet (CV, letter of support from joint appointment unit Dean, support letters from primary and joint appointment units, letter from faculty member, letters from consulted faculty in joint appointment, and EO2 form) to the Graduate School Dean’s Office.
- Graduate School Dean writes a letter of support and signs the EO2 form.

Primary appointment unit Dean’s/Center Director’s Office generates EO1 form and forwards packet to Chancellor’s Office.

Chancellor’s Office updates Faculty Data Base and forwards appointment for approval by/reporting to the Board of Trustees.

After actions are approved by/reporting to the Board of Trustees, the Chancellor’s Office sends a letter to notify the faculty member of his/her joint appointment and forwards a copy of the EO2 form to the faculty member.

Chancellor’s Office notifies the primary and joint appointment unit deans and chairs of new joint appointment by copy of the letter to the faculty member and copy of the EO2 form.
(If Primary And Joint Appointments Are In Different Sectors, With Primary In The Medical Center)

(The following procedures assume that the joint appointment unit will follow the rules of the faculty in assessing the candidate’s credentials for joint appointment and that each concerned Dean and/or Provost approves the proposal.)

**If primary appointment is in a department:**
- Joint appointment unit requests generation of EO2 by primary unit Dean’s Office.
- Primary appointment unit Dean’s Office enters the joint appointment in the Faculty Data Base and generates the EO2 form.
- Primary appointment unit Dean’s Office forwards the EO2 form to the primary appointment unit for faculty member’s signature.
- Primary department unit has EO2 form signed by faculty member and forwards packet (CV, support letters from primary and joint appointment units, letter from faculty member, letters from consulted faculty in joint appointment, and EO2 form) to joint department Dean’s Office.
- Joint appointment unit Dean writes letter of endorsement and forwards packet to Provost Office for signature.
- Provost signs EO2 form andProvost’s Office returns packet to primary appointment unit Dean’s Office.
- Primary appointment unit Dean’s Office secures the Dean’s signature on EO2 form and approves the action in the Faculty Data Base.
- Primary appointment unit Dean’s/Center Director’s Office generates EO1 form and forwards packet to Chancellor’s Office.
- Chancellor’s Office updates FDB and forwards to BOT for reporting to/approval by the Board of Trustees.
- After actions are reported to/approved by the Board of Trustees, the Chancellor’s Office sends a letter to notify the faculty member of his/her joint appointment and forwards a copy of the EO2 form to the faculty member.
- Chancellor’s Office notifies the primary and joint appointment unit chairs of new joint appointment by copy of the letter to the faculty member and copy of the EO2 form.

**If primary appointment is in a center:**
- Joint appointment unit requests generation of EO2 form by Center Director’s Office.
- Center Director’s Office enters the joint appointment in the Faculty Data Base and generates the EO2 form.
- Center Director’s Office has EO2 form signed by faculty member and forwards packet (CV, support letters from primary and joint appointment units, letter from faculty member, letters from consulted faculty in joint appointment unit, and EO2 form) to the joint appointment Dean’s Office.
- Joint appointment unit Dean’s Office writes letter of endorsement, and forwards packet to the Provost for signature.
- Provost’s Office returns packet to the Graduate School Dean’s Office.
- Graduate School Dean’s Office secures the Dean’s signature on EO2 form and returns packet to Center Director’s Office.
- Center Director’s Office updates the action in the Faculty Data Base.

**OR**
- Department Chair/Center Director of primary appointment unit contacts Department Chair/Center Director of potential joint appointment unit.
- Department Chair/Center Director of primary appointment unit contacts Department Chair/Center Director of joint appointment unit to ask for letter offering joint appointment (“We want faculty member”).
- Department Chair/Center Director of primary appointment unit writes support letter (“OK for my faculty member to have joint appointment”)
- Department Chair/Center Director of primary appointment unit requests letter from faculty member agreeing to joint appointment.
- Department Chair/Center Director of joint appointment unit obtains letters from the consulted faculty of the unit.

**Department Chair/Center Director of potential joint appointment unit contacts Department Chair/Center Director of primary appointment unit.**
(If Primary And Joint Appointments Are In Different Sectors, With Primary in the Provost Sector and Joint In The Medical Center)

- If primary appointment is in the Provost Sector, the joint appointment form and accompanying packet is generated by the Provost’s Office at the request of the joint unit appointment’s Dean/Center Director, and forwarded to the Medical Center for signature by the Dean/Center Director of the joint appointment unit. Once signed, the joint appointment unit forwards the packet to the Medical Center Chancellor’s Office for signature by the Provost. Once signed by the Provost, the Medical Center Chancellor’s Office enters the joint appointment in the Faculty Data Base and returns the packet to the Provost’s Office for approval by/reporting to the BOT.

- Once signed by the Provost's Office, a copy is returned to the Medical Center Chancellor’s Office.

- The Medical Center Chancellor’s Office makes copies and forwards to the Dean of the joint college/center and the chair of the joint appointment unit.

Procedures For A Reappointment of a Joint Appointment
(With Primary in the Medical Center and Joint In the Provost’s Office, assuming that each concerned Dean, Provost, and Provost approves the proposal)

- All joint reappointments for non-tenured faculty members in the Medical Center are completed at the same time as the primary reappointment (in March/April each year). The primary college/center prints the EO2 form(s) from the Faculty Data Base. After obtaining the faculty member’s signature, the EO2 form(s) is/are forwarded to the Dean’s/Center Director's Office where the joint appointment is held. The joint appointment Dean’s/Center Office obtains the Dean’s/Center Director’s signature and returns the form to the primary appointment Dean’s/Center Office. The Dean’s/Center Director’s signature is obtained in the primary college/center. The primary college/center approves the reappointment in the Faculty Data Base, and the EO2 form(s) is/are forwarded to the Medical Center Chancellor’s Office. The Medical Center Chancellor’s Office updates the Faculty Data Base and forwards the reappointment to the Board of Trustees.

- Once reported to the Board of Trustees, the Medical Center Chancellor’s Office updates the Faculty Data Base and forwards a copy of the reappointment (EO2) form(s) to the faculty member, with copies to the primary and joint appointment department/center.

Procedures For A Reappointment of a Joint Appointment
(With Primary in Lexington Campus Sector and Joint is in the Medical Center)

- If primary appointment is in Lexington Campus Sector, the reappointment (EO2) form is generated by the Lexington Campus at the request of the joint unit appointment’s Dean/Center Director, and then signed by the Dean/Center Director of the joint appointment unit, signed by the Provost, entered in the FDB by the Medical Center Chancellor’s Office, and the paperwork is returned to the Provost’s Office for approval by/reporting to the Board of Trustees.

- Once signed by the Provost, a copy is returned to the Medical Center Chancellor’s Office.

- The Medical Center Chancellor’s Office makes copies and forwards to the Dean of the joint college/center and the chair of the joint appointment.

Note: At each step in the process that a written letter or recommendation is required, the letter being written is to be addressed to the person to whom the flow chart indicates is the next person to receive or handle the letter.

*If the faculty member is not tenured in his primary appointment, his joint appointment will be given the same ending date as his primary appointment (usually June 30th). If the faculty member is tenured in his primary appointment, his joint appointment can be open-ended and, if so, will contain the statement, “to continue until otherwise notified”. If the joint appointment unit wishes to have a specific period of appointment/assignment for a tenured faculty member, an ending date will be entered.*
PROMOTIONS OR TENURE

Promotions

Promotion to Assistant Professor (Regular and Special Title Series)

An individual cannot remain at the rank of instructor in the University system for more than three years in the Regular or Special Title Series. For promotion to assistant professor, a dossier is prepared and required information arranged in the order listed below. Once completed, the dossier and the appointment form are forwarded to Dean’s Office. Promotion to Assistant Professor is approved or disapproved by the dean of the college. If the promotion is disapproved, the dean notifies the individual of the decision, in writing.

If approved, the dean adds a letter of evaluation, the promotion is entered in the data base, an EO1 is printed and the package is forwarded to the Medical Center Chancellor’s Office. The recommendation is forwarded to the President who reports it to the Board of Trustees.

After two years at the rank of instructor, if it appears that promotion to a higher rank cannot be justified at the end of three years, the individual is given a years terminal reappointment (AR II-1.0-1, III-3, F.). (See AR II-1.0-1, IV-2, B. for procedure for notification of non-renewal of appointment.)

A. Items to be Included in Dossier in the following order:

1. Check List
2. Dean/Director’s Letter
3. Letter from APT Committee (recommended, but not required)
4. Signature Form
5. Title Page
6. Information Page
   a. Name, date of employment, and present rank
   b. Name and address of individuals from whom letters of reference were requested.
   c. A brief biographical statement about the individual who has written a letter.
7. Position Description (with letter of approval) for Special Title Series
8. Distribution of Effort Form from last appointment or promotion or last five years; whichever is applicable.
9. Updated CV
10. Annual Performance Reviews (since last appointment or promotion)
11. Department Chair/Center Director’s Letter
12. Letter of Evaluation from Joint Appointment Unit (see note)
13. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   
a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.

b. All faculty members with tenure shall be consulted and submit written judgments on the recommendations for granting tenure.

c. Evaluation letters from an Assistant Professor with two years service in the department may be included*.

14. Outside Department/Inside UK Letters - Letters from persons outside of the candidate’s department/college but inside the University. (These are not required by the ARs. Inclusion may vary by college.)

15. Outside UK Letters - At least three letters from qualified reviewers outside of the University. Three is the minimum, more are advisable.

16. Teaching Portfolio, including student evaluations

17. Examples of Research/Creative Productivity

B. Enter promotion in the data base and send original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.

   **Note:** If a faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
Promotion to Assistant Professor (Clinical Title Series)

Procedures for promotion to Assistant Professor related to approved positions in the Clinical Title Series are the same as those for the Regular and Special Title Series, except that faculty members of the Clinical Title Series shall be consulted on a departmental or divisional basis as appropriate about promotion to academic ranks equal to or below their own.

If the appointment of a faculty member is changed from the Clinical Title Series to the Regular or Special Title Series through proper administrative channels, years of service while on appointment in the Clinical Title Series shall be eliminated from consideration in the determination of the probationary period related to the appointment of the faculty member in the Regular or Special Title Series.

For promotion to assistant professor in the Clinical Title Series, a dossier is prepared and required information arranged in the order listed below. Once completed, the dossier and the appointment form are forwarded to Dean's Office. Promotion to Assistant Professor is approved or disapproved by the dean of the college. If the promotion is disapproved, the dean notifies the individual of the decision, in writing.

If approved, the dean adds a letter of evaluation, the promotion is entered in the data base, an EO1 is printed and the package is forwarded to the Medical Center Chancellor’s Office. The recommendation is forwarded to the President who reports it to the Board of Trustees.

A. **Items to be Included in Dossier in the following order:**

   a. Check List
   b. Dean/Director’s Letter
   c. Signature Form
   d. Title Page
   5. Information Page
   6. Position Description (with letter of approval)
   7. Distribution of Effort Form from last appointment or promotion or last five years; whichever is applicable.
   8. Updated CV
   9. Annual Performance Reviews (since last appointment or promotion)
   10. Department Chair/Center Director’s Letter
   11. Letter of Evaluation from Joint Appointment Unit (see note)
12. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)

   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. Evaluation letters from an Assistant Professor with two years service in the department may be included*.

13. Summary of Student Evaluations

   ✓ Include number of students, course number, contact hours with students, and the period of time the evaluations occur.
   ✓ Indicate ranking of the faculty within the educational unit (i.e., outstanding, above average, average, etc.)
   ✓ Include evaluations from graduates of the program.
   ✓ Include number of graduates and the period of time the evaluations occur.

B. Enter promotion in the data base and send original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.

   **Note:** If a faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
Promotion to Librarian III

An individual cannot remain at the rank of Librarian IV for more than five years. If, after that period, promotion to Librarian III cannot be justified, the individual's appointment as a librarian is not renewed. In considering an individual for promotion to the rank of Librarian III, annual performance reviews are taken into account. These reviews are conducted in terms of criteria appropriate to the librarian's assigned duties but with attention given to the individual's participation in professional activities and general professional development and to any research and/or publication which may have been done.

Promotion from the rank of Librarian IV to Librarian III is made by the Director Library. Consideration of such a promotion is based on consultation with appropriate librarians and administrators and made with the approval of the Provost and the Provost. Approved action is communicated through the Provost to the Provost and the President who reports it to the Board of Trustees.

In case of disapproval of a proposal to promote an individual to Librarian III, the Director Library notifies the individual of such action in writing with copies to any appropriate administrators.

A. **Items to be Included in Dossier in the following order:**

1. Check List
2. Library Director’s Letter
3. Signature Form
4. Title Page
5. Information Page
   - Name, date of employment, and present rank
   - Name and address of individuals from whom letters of reference were requested.
   - A brief biographical statement about the individual who has written a letter.
6. Distribution of Effort Form from last appointment or promotion or last five years; whichever is applicable.
7. Updated CV
8. Annual Performance Reviews (since last appointment, promotion or tenure)
9. Letter from APT Committee (recommended, but not required)
10. Letter of Evaluation from Joint Appointment Unit (see note)
11. Consulted Faculty Letters (if required)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. All faculty members with tenure shall be consulted and submit written judgments on recommendations for granting tenure.
   c. Evaluation letters from a Librarian I with two years service in the department may be included*.

12. Outside Library/Inside UK Letters (if required)

13. Outside UK Letters - At least three letters from qualified reviewers outside of the University. Three is the minimum, more are advisable.

B. Enter promotion in the data base (Board Actions) and send original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.

Note: If a faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
Promotion to Assistant Professor (Adjunct or Part-time)

Adjunct or part-time promotions are based on merit and time served and are initiated at the request of the department chair/center director. Procedures for promotion at any adjunct or part-time rank parallel that of Regular, Special or Clinical Title Series promotions.

A. **Items to be Included in Dossier in the following order:**

1. Information for Appointment/Promotion/Tenure Dossiers Sheet
2. Check List
3. Dean/Director’s Letter
4. Signature Form
5. Title Page
6. Updated CV
7. Annual Performance Reviews
8. Department Chair/Center Director’s Letter
9. Letter of Evaluation from Joint Appointment Unit (see note)
10. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. Evaluation letters from an Assistant Professor with two years service in the department may be included*.
11. Summary of Student Evaluations
   a. Include number of students, course number, contact hours with students, and the period of time the evaluations occur.
   b. Indicate ranking of the faculty within the educational unit (i.e., outstanding, above average, average, etc.)
   c. Include evaluations from graduates of the program.
   d. Include number of graduates and the period of time the evaluations occur.
12. Examples of Research/Creative Productivity (optional)

B. Enter promotion in the data base and send original dossier (unbound) with EO1 and EO2 forms to the Medical Center Chancellor’s Office.

**Note:** If faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.*
Promotion to Associate Professor/Professor (Regular, Special and Librarian Title Series)*

An Assistant professor in sixth or next to last year of a probationary period must be considered for promotion and tenure, unless the individual requests **in writing** his/her willingness to accept a terminal appointment or to resign his position.

The preparation of dossiers for promotion at the associate professor/professor levels are generally initiated six months prior to the desired effective date.

A dossier is prepared and required information arranged in the order listed below. Once completed, except for the dean/library director’s letter, the dossier is sent to the college Appointment, Promotion and Tenure Committee for review and recommendation. The chair of the Appointment, Promotion and Tenure Committee prepares a letter to the dean recommending approval or disapproval of the promotion. If it is the dean’s decision to recommend an assistant professor for promotion and tenure, a letter of recommendation is added to the dossier and forwarded to the Provost. If the dean does not recommend the assistant professor for promotion and tenure, the dean notifies the individual of this action in writing five (5) months before the end of the sixth or the next to last year of the individual's probationary period.

For an associate professor whose promotion is approved by the dean, or whose promotion has not been considered by an area committee for six years, the dean/library director adds a letter of recommendation and forwards the dossier to the Provost. In all other cases, the dean’s decision to disapprove the proposal to promote an associate professor is final and the dean notifies the faculty member in writing with a copy to the department chair.

A. **Items to be Included in Dossier in the following order:**

1. Information for Appointment/Promotion/Tenure Dossiers Sheet
2. Check List
3. Dean/Library Director’s Letter
4. Letter from APT Committee
5. Signature Form
6. Title Page
7. Information Page
   a. Name, date of employment, and present rank
   b. Name and address of individuals from whom letters of reference were requested.
   c. A brief biographical statement about the individual who has written a letter.
8. Distribution of Effort Form from last appointment or promotion or last five years; whichever is applicable.
9. Updated CV
10. Annual Performance Reviews (since last appointment or promotion)

*Procedures differ somewhat for Librarian Title Series faculty. Refer to AR II-1.0-1, Page X-2 - X-4.
11. Summary of Department Chair/Center Director’s Consultation with Consulted Faculty - Two and Four-Year Reviews

12. Department Chair/Center Director’s Letter

13. Letter of Evaluation from Joint Appointment Unit (see note)

14. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. All faculty members with tenure shall be consulted and submit written judgments on recommendations for granting tenure.
   c. Evaluation letters from an Assistant Professor with two years service in the department may be included*.

15. Outside Department/Inside UK Letters - Letters from persons outside of the candidate’s department/college but inside the University. (These are not required by the ARs. Inclusion may vary by college.)

16. Outside UK Letters - At least three letters from qualified reviewers outside of the University. Three is the minimum, more are advisable.

17. Teaching Portfolio, including student evaluations

18. Examples of Research/Creative Productivity (Regular and Special Title Series only)

B. Enter promotion in the data base and send original and one copy of the dossier to the Medical Center Chancellor’s Office. The EO1 and EO2 forms are not printed at this time.

   **Note:** If faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

The appropriate area committee and the Dean of the Graduate School review the dossier and make a recommendation to the Provost. The dossier is then reviewed by the Associate Vice President for Academic and Student Affairs and a recommendation is forwarded to the Provost.

The Provost reviews the recommendations and makes his recommendation to approve or disapprove the promotion. He, then, forwards the dossier, with the recommendations given by all levels (including his recommendation) to the Provost. The Provost reviews the dossier and forwards the dossier, with his recommendation, to the President for his decision.

The Provost returns the dossier to the Medical Center Chancellor’s Office with the decision of the President.

The dean is notified of the President’s decision and, if approved, an EO1 and EO2 form are forwarded to the Medical Center Chancellor’s Office. The Medical Center Chancellor’s Office forwarded the appointment to the Board of Trustees for final approval.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
A dossier is prepared and required information arranged in the order listed below. Once completed, the dossier is sent to the Appointment, Promotion and Tenure Committee for review and recommendation. The chair of the Appointment, Promotion and Tenure Committee prepares a letter to the dean recommending approval or disapproval of the promotion. If it is the dean's decision to recommend the faculty member for promotion, such a recommendation is added to the dossier and forwarded to the Provost.

A. Items to be Included in Dossier in the following order:

1. Information for Appointment/Promotion/Tenure Dossiers Sheet
2. Check List
3. Dean/Director’s Letter
4. Letter from APT Committee
5. Signature Form
6. Title Page
7. Information Page
   a. Name, date of employment, and present rank
   b. Name and address of individuals from whom letters of reference were requested.
   c. A brief biographical statement about the individual who has written a letter.
8. Distribution of Effort Form from last appointment or promotion or last five years; whichever is applicable.
9. Updated CV
10. Annual Performance Reviews (since last appointment or promotion)
11. Department Chair/Center Director’s Letter
12. Letter of Evaluation from Joint Appointment Unit (see note)
13. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. All faculty members with tenure shall be consulted and submit written judgments on recommendations for granting tenure.
   c. Evaluation letters from an Assistant Professor with two years service in the department may be included*.
14. Outside UK Letters - At least three letters from qualified reviewers outside of the University. Three is the minimum, more are advisable.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
15. Summary of Student Evaluations (not applicable for Research Title Series)

- Include number of students, course number, contact hours with students, and the period of time the evaluations occur.
- Indicate ranking of the faculty within the educational unit (i.e., outstanding, above average, average, etc.)
- Include evaluations from graduates of the program.
- Include number of graduates and the period of time the evaluations occur.

16. Examples of Research/Creative Productivity (Optional for Clinical Title Series)

B. Enter promotion in the data base and send original and one copy of the dossier to the Medical Center Chancellor’s Office. The EO1 and EO2 forms are not printed at this time.

Note: If a faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

The appropriate area committee and the Dean of the Graduate School review the dossier and make a recommendation to the Provost. The dossier is then reviewed by the Associate Vice President for Academic and Student Affairs and a recommendation is forwarded to the Provost.

The Provost reviews the recommendations and makes his recommendation to approve or disapprove the promotion. He, then, forwards the dossier, with the recommendations given by all levels (including his recommendation) to the Provost. The Provost reviews the dossier and forwards the dossier, with his recommendation, to the President for his decision.

The Provost returns the dossier to the Medical Center Chancellor’s Office with the decision of the President.

The dean is notified of the President’s decision and, if approved, an EO1 and EO2 form are forwarded to the Medical Center Chancellor’s Office. The Medical Center Chancellor’s Office forwarded the appointment to the Board of Trustees for final approval.
Promotion to Associate Professor/Professor (Adjunct Title Series)

Procedures for appointment and promotion in the Adjunct Title Series are the same as those for the Regular and Special Title Series except for time in rank. Promotions in the Adjunct Title Series are referred to the appropriate Area Committee and all steps are completed as those for the Regular and Special Title Series. Criteria for appointment and promotion parallel those established for the academic rank title assigned, except that appraisal of the candidate takes into account, as appropriate, a heavier work load in assigned responsibilities.

A. Items to be Included in Dossier in the following order:

1. Information for Appointment/Promotion/Tenure Dossiers Sheet
2. Check List
3. Dean/Director’s Letter
4. Letter from APT Committee
5. Signature Form
6. Title Page
7. Information Page
   a. Name, date of employment, and present rank
   b. Name and address of individuals from whom letters of reference were requested.
   c. A brief biographical statement about the individual who has written a letter.
8. Updated CV
9. Annual Performance Reviews (since last appointment or promotion)
10. Department Chair/Center Director’s Letter
11. Letter of Evaluation from Joint Appointment Unit (see note)
12. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. Evaluation letters from an Assistant Professor with two years service in the department may be included*.
13. Outside Department/Inside UK Letters - Letters from persons outside of the candidate’s department/college but inside the University. (These are not required by the ARs. Inclusion may vary by college.)
14. Outside UK Letters - At least three letters from qualified reviewers outside of the University. Three is the minimum, more are advisable.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
15. Summary of Student Evaluations

- Include number of students, course number, contact hours with students, and the period of time the evaluations occur.
- Indicate ranking of the faculty within the educational unit (i.e., outstanding, above average, average, etc.)
- Include evaluations from graduates of the program.
- Include number of graduates and the period of time the evaluations occur.

14. Research/Creative Productivity (if in the position description)

B. Enter promotion in the database and send original and one copy of the dossier to the Medical Center Chancellor’s Office. The EO1 and EO2 forms are not printed at this time.

**Note**: If faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

The appropriate area committee and the Dean of the Graduate School review the dossier and make a recommendation to the Provost. The dossier is then reviewed by Associate Vice President for Academic and Student Affairs and a recommendation is forwarded to the Provost.

The Provost reviews the recommendations and makes his recommendation to approve or disapprove the promotion. He, then, forwards the dossier, with the recommendations given by all levels (including his recommendation) to the Provost. The Provost reviews the dossier and forwards the dossier, with his recommendation, to the President for his decision.

The Provost returns the dossier to the Medical Center Chancellor’s Office with the decision of the President.

The dean is notified of the President’s decision and, if approved, an EO1 and EO2 form are forwarded to the Medical Center Chancellor’s Office. The Medical Center Chancellor’s Office forwarded the appointment to the Board of Trustees for final approval.
Promotion to Associate Professor/Professor (Part-time)

Part-time promotions are based on merit and time served and are initiated at the request of the department chair/center director. Procedures for promotion at any part-time rank parallel that of Regular, Special or Clinical Title Series promotions.

A. **Items to be Included in Dossier in the following order:**

1. Check List
2. Dean/Director's Letter
3. Signature Form
4. Title Page
5. Updated CV
6. Annual Performance Reviews (since last appointment or promotion)
7. Department Chair/Center Director's Letter
8. Letter of Evaluation from Joint Appointment Unit (see note)
9. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. Evaluation letters from an Assistant Professor with two years service in the department may be included*.
10. Summary of Student Evaluations
    ✓ Include number of students, course number, contact hours with students, and the period of time the evaluations occur.
    ✓ Indicate ranking of the faculty within the educational unit (i.e., outstanding, above average, average, etc.)
    ✓ Include evaluations from graduates of the program.
    ✓ Include number of graduates and the period of time the evaluations occur.
11. Examples of Research/Creative Productivity (if applicable)

B. Enter promotion in the data base and send original dossier (unbound) with EO1 and EO2 forms to the Medical Center Chancellor's Office.

**Note:** If faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.*
Promotion in a Joint Appointment (All Levels)
(if submitted separately from primary promotion)

A. **Items to be Included in Dossier in the following order:**

   1. Dean/Director's Letter of candidate’s primary appointment.
   2. Department Chair/Center Director’s Letter - Need a letter from both department chairs/center directors of the candidate's prime and joint appointments.
   3. Updated CV.
   4. Letters from consulted faculty if required by the department.

B. The primary unit enters the joint promotion in the data base and sends original copy of the dossier with the EO1 and EO2 forms to the Medical Center Chancellor’s Office.

Promotion in a Voluntary Appointment (All Levels)

Obtain material:

   1. Dean/Director's Letter
   2. Department Chair/Center Director’s Letter
   3. Letter of Evaluation from Joint Appointment Unit (see note)
   4. Letters from Consulted faculty if required by the department

Enter promotion in the data base and send original material with the EO1 and EO2 forms to the Medical Center Chancellor’s Office.

**Note:** If faculty member has a joint appointment in another unit, check with that department chair/center director to see if he/she is to be promoted in that unit as well.
Review Opportunity for Tenured Assistant or Associate Professor

An assistant or associate professor with tenure who has not been considered for promotion to a higher rank by an Academic Area Advisory Committee for a period of six years may request such consideration by October 1st of the seventh or a subsequent year. This request is to be submitted in writing to the department chair/center director of the individual’s unit. The department chair/center director, upon receipt of such a request, prepares a promotion dossier, makes a recommendation, either supporting or opposing the promotion, and forwards the dossier to the dean.

The dean reviews the dossier and forwards it, with his/her recommendation, to the Provost no later than January 15th of the academic year in which the request is made.

The Provost submits the dossier to the appropriate area committee for review. The area committee recommends to the Provost in the usual manner.

If a faculty member is considered by an area committee for promotion under this option, the provision of another opportunity for such consideration shall not be mandatory until six or more years have passed.

A. **Items to be Included in Dossier in the following order:**

1. Information for Appointment/Promotion/Tenure Dossiers Sheet
2. Check List
3. Dean/Director’s Letter
4. Signature Form
5. Title Page
6. Information Page
   a. Name, date of employment, and present rank
   b. Name and address of individuals from whom letters of reference were requested.
   c. A brief biographical statement about the individual who has written a letter.
7. Updated CV
8. Annual Performance Reviews (since last appointment or promotion)
9. Department Chair/Center Director’s Letter
10. Letter of Evaluation from Joint Appointment Unit (see note)
11. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. Evaluation letters from an Assistant Professor with two years service in the department may be included*.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
12. Outside Department/Inside UK Letters - Letters from persons outside of the candidate’s department/college but inside the University. (These are not required by the ARs. Inclusion may vary by college.)

13. Outside UK Letters - At least three letters from qualified reviewers outside of the University. Three is the minimum, more are advisable.

14. Teaching Portfolio, including student evaluations

15. Examples of Research/Creative Productivity

B. Enter promotion in the data base and send original and one copy of the dossier to the Medical Center Chancellor’s Office. The EO1 and EO2 forms are not printed at this time.

Note: If faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

The appropriate area committee and the Dean of the Graduate School review the dossier and make a recommendation to the Provost. The dossier is then reviewed by the Associate Vice President for Academic and Student Affairs and a recommendation is forwarded to the Provost.

The Provost reviews the recommendations and makes his recommendation to approve or disapprove the promotion. He, then, forwards the dossier, with the recommendations given by all levels (including his recommendation) to the Provost. The Provost reviews the dossier and forwards the dossier, with his recommendation, to the President for his decision.

The Provost returns the dossier to the Medical Center Chancellor’s Office with the decision of the President.

The dean is notified of the President’s decision and, if approved, an EO1 and EO2 form are forwarded to the Medical Center Chancellor’s Office.

The Medical Center Chancellor’s Office forwarded the appointment to the Board of Trustees for final approval.

Failure to Support a Recommendation to Promote

If a recommendation to promote and/or grant tenure is disapproved at any level, this fact shall be reported to the preceding level(s) with supporting reasons and an opportunity provided for a thorough discussion of the recommendation among the concerned parties. Any related appeal(s) to the Provost concerning procedural matters or privilege and/or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom must be initiated in writing by the faculty member within 60 days after being notified in writing by the dean of the disapproval of the recommendation to promote and/or grant tenure.
Tenure

Consideration of an Associate Professor or a Professor for Tenure*

An associate professor without tenure may be considered for tenure at any time prior to the next-to-last year of the stated probationary period. However, a non-tenured associate professor in the next-to-last year of a probationary period, or a professor in the first half of a one-year probationary period, must be considered for tenure at that respective specific time, unless the individual requests, in writing, that the review not be done because of resignation or willingness to accept, as applicable, a terminal reappointment or a notice of non-renewal of appointment.

A dossier is prepared and the information included in the order listed below. Once completed, except for the dean/center director’s letter, the dossier is sent to the college Appointment, Promotion and Tenure Committee for review and approval. The chair of the Appointment, Promotion and Tenure Committee prepares a letter to the dean recommending approval or disapproval of the promotion. If it is the dean's decision to recommend the faculty member for promotion and tenure, such a recommendation is added to the dossier and forwarded to the Provost. If the dean does not recommend the associate professor or professor for tenure, the dean notifies the individual of this action in writing.

A. Items to be Included in Dossier in the following order:

1. Information for Appointment/Promotion/Tenure Dossiers Sheet

2. Check List

3. Dean/Director’s Letter

4. Letter from APT Committee

5. Signature Form

6. Title Page

7. Information Page
   a. Name, date of employment, and present rank
   b. Name and address of individuals from whom letters of reference were requested.
   c. A brief biographical statement about the individual who has written a letter.

8. Distribution of Effort Form from last appointment or promotion or last five years; whichever is applicable.

9. Updated CV

10. Annual Performance Reviews (since last appointment or promotion)

11. Summary of Department Chair/Center Director’s Consultation with Consulted Faculty - Two and Four-Year Reviews

12. Department Chair/Center Director’s Letter

*Procedures differ somewhat for Librarian II and Librarian I faculty. Refer to AR II-1.0-1, Pages X-3 – X-4.
13. Letter of Evaluation from Joint Appointment Unit (see note)

14. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   
a. All faculty members with tenure shall be consulted and submit written judgments on recommendations for granting tenure.
   b. Evaluation letters from an Assistant Professor with two years service in the department may be included*.

15. Outside Department/Inside UK Letters - Letters from persons outside of the candidate’s department/college but inside the University. (These are not required by the ARs. Inclusion may vary by college.)

16. Outside UK Letters - At least three letters from qualified reviewers outside of the University. Three is the minimum, more are advisable.

17. Teaching Portfolio, including student evaluations

18. Examples of Research/Creative Productivity

B. Enter award of tenure in the data base and send original and one copy of the dossier to the Medical Center Chancellor’s Office. **The EO1 and EO2 forms are not printed at this time.**

   **Note:** If faculty member has a joint appointment in another unit, check with the department chair/center director to see if he/she is to be promoted in that unit as well.

   The appropriate area committee and the Dean of the Graduate School review the dossier and make a recommendation to the Provost. The dossier is then reviewed by the Associate Vice President for Academic and Student Affairs and a recommendation is forwarded to the Provost.

   The Provost reviews the recommendations and makes his recommendation to approve or disapprove the promotion. He, then, forwards the dossier, with the recommendations given by all levels (including his recommendation) to the Provost. The Provost reviews the dossier and forwards the dossier, with his recommendation, to the President for his decision.

   The Provost returns the dossier to the Medical Center Chancellor’s Office with the decision of the President.

   The dean is notified of the President’s decision and, if approved, an EO1 and EO2 form are forwarded to the Medical Center Chancellor’s Office. The Medical Center Chancellor’s Office forwarded the appointment to the Board of Trustees for final approval.

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*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
Failure to Support a Recommendation to Grant Tenure

If a recommendation to promote and/or grant tenure is disapproved at any level, this fact is reported to the preceding level(s) with supporting reasons and an opportunity provided for a thorough discussion of the recommendation among the concerned parties. Any related appeal(s) to the Chancellor concerning procedural matters or privilege and/or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom is initiated in writing by the faculty member within 60 days after being notified in writing by the dean of the disapproval of the recommendation to promote and/or grant tenure.
PROCEDURAL FLOW CHART
FOR PROPOSALS TO PROMOTE AND/OR GRANT TENURE
IN THE UNIVERSITY SYSTEM

Department Chairperson/Director
1. Initiates proposal to promote and/or grant tenure.
2. Prepares dossier relative to proposal, if required.
3. Forwards dossier with recommendation to the dean.
4. See footnote (*)

Dean
1. Reviews dossier for completeness.
2. Obtains recommendations from College Advisory Committee in cases where such is required (Section III.D.); otherwise, obtains recommendation only when desired.
3. Approves or disapproves recommendation to promote from instructor to assistant professor. In case of approval, reports action through the chancellor/vice president to the President who reports it to the Board of Trustees. In case of disapproval, notifies the faculty member in writing with a copy to the department chairperson.
4. Approves or disapproves recommendation to promote and/or grant tenure to associate professor or professor. In case of approval, forwards dossier with affirmative recommendation to the appropriate chancellor/vice president. In case of disapproval and stopping of proposal, notifies the faculty member in writing with copy to the department chairperson/director.
5. See footnote (*)

Chancellor/Vice President
1. Reviews dossier for completeness.
2. Obtains recommendation, if required, from appropriate Academic Area Advisory Committee (or simply Area Committee). The Area Committee may, however, request use of an ad hoc committee (appointed by the chancellor/vice president) for further evaluation before returning dossier with Area Committee’s recommendation to the chancellor/vice president.
3. Obtains a recommendation, if required, from the Dean of the Graduate School.
(Note: Steps 1, 3, and 4 may be delegated by the Chancellor/Vice President to the Vice Chancellor for Academic Affairs.)
4. Obtains a recommendation from the Vice Chancellor for Academic Affairs.
5. Reviews the proposal and supporting dossier with all recommendations.
6. Decides on a recommendation and, if negative, informs the dean of the college. The dean informs the individual, in writing, and the department chairperson/director.
7. Forwards recommendation of approval to President.
8. Maintains a documentation file of all recommendations and actions relative to proposal.
9. Handles communications from the President to the deans in the chancellor’s/vice president’s sector.
10. See footnote (*)

President
1. Reviews proposal.
2. Approves or disapproves proposal. In case of approval, submits affirmative recommendation to Board of Trustees for final action. In case of disapproval and stopping the proposal, informs the appropriate chancellor/vice president. The chancellor/vice president informs the dean. The dean, in turn, notifies the faculty member, in writing, with a copy to the department chairperson.

Board of Trustees
1. Takes final action, i.e., approves or disapproves the President’s recommendation.
2. The President informs the appropriate chancellor/vice president, of the Board’s action. The chancellor/vice president informs the dean. The dean, in turn, notifies the faculty member in writing with a copy to the department chairperson.

(*) The roles of the department chairperson, dean, and chancellor/vice president in a case of a tenured assistant or associate professor whose promotion to a higher rank has not been considered by an Area Committee for at least six years are describes in Section III.F.2. of this AR.
REAPPOINTMENTS (AR II-1.0-1)

Only faculty who are not yet tenured or those who are not eligible for tenure are subject to the reappointment process. The department chair/center director is responsible for recommendations on the reappointment of non tenured faculty, following consultation with at least all full-time unit faculty at or above the level of assistant professor who have been members of the unit for at least two years. Other faculty may be consulted in accordance with departmental procedures. The department chair/center director forwards their recommendation to the dean. If the reappointment is approved at the dean's level, the following steps are followed:

1. The Notice of Primary Academic Appointment and Assignment (EO2 form) is completed and sent to the faculty member to be signed and returned.

2. The faculty member’s and dean's signature are the only required signatures at the college level.

   Timeline Tip:  
The EO2 form must be completed and signed in plenty of time to meet the deadline for sending agenda items to the Medical Center Chancellor’s Office to be reported to the Board of Trustees no later than the June Board. The deadlines for receiving agenda items for the Board of Trustees are sent to the colleges each year.

3. The Dean’s Office prints a copy of the EO1 form from the data base for each faculty member to be reappointed and forwards it, with the signed EO2 form(s), to the Medical Center Chancellor’s Office. The board action in the Faculty Data Base is approved and forwarded to the Provost’s level at the same time the material is forwarded.

   NOTE: Each reappointment is reviewed for any related joint appointments. If there is a joint appointment, the appropriate dean/center director must sign the EO2 form before it is signed by the primary college dean. The reappointment form is not forwarded to the Medical Center Chancellor’s Office until all signatures are obtained on the EO2 form(s) at the college level.

4. The EO1 forms are then processed by the Medical Center Chancellor’s Office for final reporting to or approval by the Board of Trustees.

5. The Medical Center Chancellor’s Office sends a signed copy of the EO2 form to each faculty member, with a copy to the dean/library director and department chair/center director.

   NOTE: Refer to the section on Terminations regarding steps to be taken if the faculty member is not reappointed and for required notice of non-renewal. Procedures for routing a joint terminal reappointment are the same as the routing for joint reappointment (see Flowcharts beginning on page 35).
CHANGES

Status Changes

A. Part-Time to Voluntary

Needed:

1. Letter from department chair/center director to dean
2. Letter from dean to Provost.
3. Voluntary appointment form completed and approved. When this form is sent to voluntary faculty, a Notice of Primary Academic Appointment and Assignment Form is sent along for the signature of faculty.

Enter change in the database and send original of the dossier and the EO1 and EO2 forms to the Medical Center Chancellor's Office. The board action is forwarded to the Provost's level at the same time the material is forwarded.

Note: If faculty member has a joint appointment in another unit, check with the department chair/center director to see if his/her joint will continue in the new status or be terminated.

B. Voluntary to Part-Time

Needed (assistant professor and below):

1. Letter from department chair/center director to dean
2. Letter from dean to Provost
3. Current CV

Needed (associate professor/professor):

1. Letter from department chair/center director to dean
2. Letter from dean to Provost
3. Current CV
4. Letters from consulted faculty in department/division.

Enter change in the database and send original of the dossier and the EO1 and EO2 forms to the Medical Center Chancellor's Office.

Note: If faculty member has a joint appointment in another unit, check with the department chair/center director to see if his/her joint will continue in the new status or be terminated.

C. Full-Time to Part-Time

Needed:

1. Letter from department chair/center director to dean
2. Letter from dean to Provost

Enter change in the database and send original of the dossier and the EO1 and EO2 forms to the Medical Center Chancellor's Office.

Note: If faculty member has a joint appointment in another unit, check with the department chair/center director to see if his/her joint will continue in the new status or be terminated.
D. Part-Time/Voluntary to Full-Time

Follow appointment procedures - same documents needed.

**Note**: If faculty member has a joint appointment in another unit, check with the department chair/center director to see if his/her joint will continue in the new status or be terminated.

E. Temporary (Full-Time or Part-Time) to Full-Time

Follow appointment procedures - same documents needed.

**Note**: If faculty member has a joint appointment in another unit, check with the department chair/center director to see if his/her joint will continue in the new status or be terminated.

Title Series Changes

A. Instructor/Assistant Professor

Approvals are forwarded to the Provost who forwards them to the President for reporting to the Board of Trustees. If the change is disapproved, the dean notifies the individual of the action in writing, with a copy to the department chair/center director.

**Items to be Included in Dossier in the following order:**

1. Check List
2. Dean/Director’s Letter
3. Signature Form
4. Title Page
5. Affirmative Action Form (if money will be from different source of funding)
6. Distribution of Effort Form
7. Position Description (for Special, Clinical, Research, or Adjunct Title Series) with letter of approval
8. Updated CV
9. Annual Performance Reviews (since last appointment or promotion)
10. Department Chair/Center Director’s Letter
11. Letter of Evaluation from Joint Appointment Unit (see note)
12. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. All faculty members with tenure shall be consulted and submit written judgments on recommendations for granting tenure.
   c. Evaluation letters from an Assistant Professor with two years service in the department may be included*

13. a. Teaching Portfolio (tenure-track only), including student evaluations or
   b. Summary of Student Evaluations (non-tenure-track only)
   ✓ Include number of students, course number, contact hours with and the period of time the evaluations occur.
   ✓ Indicate ranking of the faculty within the educational unit (i.e., outstanding, above average, average, etc.)
   ✓ Include evaluations from graduates of the program.
   ✓ Include number of graduates and the period of time the evaluations occur.

14. Examples of Research/Creative Productivity (if required by college/center)

Enter the change in the data base and send original dossier with EO1 and EO2 forms to the Medical Center Chancellor’s Office.

**Note:** If faculty member has a joint appointment in another unit, check with the department chair/center director to see if his/her joint will continue in the new title series or be terminated.

B. Associate Professor/Professor

A dossier is prepared and the information included in the order listed below. Once completed, the dossier is sent to the Appointment, Promotion and Tenure Committee for review and recommendation. The chair of the Appointment, Promotion and Tenure Committee prepares a letter to the dean recommending approval or disapproval of the change. If it is the dean's decision to recommend approval of the faculty member’s change, such a recommendation is added to the dossier and forwarded to the Provost. If the dean does not recommend the change, the dean notifies the individual of this action in writing.

**Items to be Included in Dossier in the following order:**

1. Information for Appointment/Promotion/Tenure Dossiers Sheet
2. Check List
3. Dean/Director’s Letter
4. Letter from APT Committee
5. Signature Form

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.
6. Title Page

7. Information Page - name, date of employment, and present rank

8. Affirmative Action Form (if money will be from different source of funding)

9. Distribution of Effort Form

10. Updated CV

11. Annual Performance Reviews (since last appointment or promotion)

12. Summary of Department Chair/Center Director’s Consultation with Consulted Faculty – Two and Four-Year Reviews (if applicable)

13. Department Chair/Center Director’s Letter

14. Letter of Evaluation from Joint Appointment Unit (see note)

15. Consulted Faculty Letters (Policies here may vary per college - follow your college guidelines)
   a. Faculty members need not be consulted or submit written judgments on recommendations for promotion affecting members with equal or higher rank.
   b. All faculty members with tenure shall be consulted and submit written judgments on recommendations for granting tenure.
   c. Evaluation letters from an Assistant Professor with two years service in the department may be included*

16. a. Teaching Portfolio (tenure-track only), including student evaluations or
   b. Summary of Student Evaluations (non-tenure-track only)
      ✓ Include number of students, course number, contact hours with
      ✓ and the period of time the evaluations occur.
      ✓ Indicate ranking of the faculty within the educational unit (i.e.,
          outstanding, above average, average, etc.)
      ✓ Include evaluations from graduates of the program.
      ✓ Include number of graduates and the period of time the evaluations occur.

17. Examples of Research/Creative Productivity (for Regular, Special or Research Title Series)

   Enter the change in the data base and send original and one copy of the dossier to the Medical Center Chancellor’s Office. **The EO1 form is not printed at this time.**

**Note:** If faculty member has a joint appointment in another unit, check with the department chair/center director to see if his/her joint will continue in the new title series or be terminated.

*Faculty are not required to be consulted or to submit written judgments, but should be offered the opportunity to do so by the department.*
The appropriate area committee and the Dean of the Graduate School review the dossier and make a recommendation to the Provost. The dossier is then reviewed by the Associate Vice President for Academic and Student Affairs and a recommendation is forwarded to the Provost.

The Provost reviews the recommendations and makes his recommendation to approve or disapprove the promotion. He, then, forwards the dossier, with the recommendations given by all levels (including his recommendation) to the Provost. The Provost reviews the dossier and forwards the dossier, with his recommendation, to the President for his decision.

The Provost returns the dossier to the Medical Center Chancellor’s Office with the decision of the President.

The dean is notified of the President’s decision and, if approved, an EO1 and EO2 form are forwarded to the Medical Center Chancellor’s Office. The Medical Center Chancellor’s Office forwarded the appointment to the Board of Trustees for final approval.

Assignment Period Changes

Academic appointments are made on a nine-month, ten-month, eleven-month, and twelve-month basis as discussed in AR II-1.1-7. In justifiable cases, a faculty assignment period is changed from one basis to another and such a change appropriately may be accompanied by a change in assignment period salary. (Salary table available in AR II-1.1-2) To modify a term of assignment:

Needed:

1. Letter from faculty member to department chair/center director requesting change.
2. Letter from department chair/center director to dean.
3. Letter from dean/director to Provost.

Enter the change in the data base and send materials with the EO1 and EO2 forms to the Medical Center Chancellor’s Office. The board action is forwarded to the Provost’s level at the same time the material is forwarded. This action is NOT reported to the Board of Trustees.

Note: If faculty member has a joint appointment in another unit, check with the department chair/center director to see if his/her joint will continue or be terminated.

A change in assignment period is not reported to the Board of Trustees. When the materials are received in the Medical Center Chancellor’s Office, the board action will be properly marked. The EO2 form will be signed and returned to the faculty member, with a copy to the dean and department (where appropriate).

College/Department Changes

If a transfer in college/department involves a new position in a title series requiring a position description, the position description must be approved before the transfer is requested. Also, if the transfer involves a new position in the regular or special title series, the position must be advertised as required (see section describing New Appointments).
Needed in the following order:

1. Letter from dean to Provost
2. Letter from faculty requesting transfer
3. Letter from each department chair/center director to dean
4. Letters from consulted faculty from new department
5. DOE

Enter the change in the data base and send materials with the EO1 and EO2 forms to the Medical Center Chancellor’s Office. The board action is forwarded to the Provost’s level at the same time the material is forwarded.

Note: If faculty member has a joint appointment in another unit, check with the department chair/center director to determine if joint will continue or if new joint will be requested.
Sick Leave: The following is the current sick leave policy for faculty:

- Approval of sick leave for up to two weeks (10 days) is delegated to the department chair/center director.
- Approval of sick leave between two and four weeks (11-20 days) is delegated to the dean/director.
- All sick leave over four weeks (21 days) is approved by the Provost.
- All sick leave is to be recorded.

Eligible faculty who are totally disabled are entitled to six months' sick leave with pay. After six months, the Long Term Disability Plan, for which the University pays the full cost, becomes operative. Sick leave with pay for more than six months requires approval by the Board of Trustees (GR X.C.5.b.).

When a faculty member goes on total disability, a board action is generated for a leave of absence and the action is reported to the Board of Trustees. The faculty member will be coded as “past” in the data base and cannot be given the status of “emeritus”, since they did not retire from the University.

Any sick leave over 30 days must be entered in the data base. An EO1 form is printed and forwarded to the Medical Center Chancellor’s Office along with the request from the faculty member and approval letter from the dean/director. A copy of the dean/director’s letter will be returned to the college after approval by the Provost.

Long Term Disability: Regular full-time faculty, other than those covered by Civil Service or the Federal Employee Retirement System, are covered by the Long Term Disability Program (GR X-15).

Vacation Leave: All full-time faculty members on a ten-month, eleven-month, or twelve-month assignment basis are entitled to 22 working days of vacation leave with pay per assignment period. With prior administrative approval, faculty members may take vacation leave at appropriate times during the period in which they are eligible to take such leave; however, each member of the teaching faculty must be in actual attendance at least until after Commencement and until all reports have been made, and at least three days prior to the first day of registration for the fall semester, unless for special reasons leave is approved.

Vacation leave normally cannot be accumulated from one assignment period to another, except that a faculty member on a twelve-month assignment basis may take vacation leave either during the assignment period in which the vacation leave is earned or during the subsequent assignment period. Under unusual circumstances, provided it is in the best interest of a faculty member on a ten-month or an eleven-month assignment basis also may take unused vacation leave during the assignment period following that in which the vacation leave was earned. Pay for unused vacation leave is limited to a maximum of 22 days at the end of employment. (See GR X.C.2; AR II-1.1-7; AR II-1.1-8; and AR II-1.3-2).

Miscellaneous/Personal Leave: The Provost may grant leaves of absence with pay for a period not to exceed thirty days for the purpose of permitting a faculty member to attend a professional meeting, serve temporarily with an outside agency, serve in the military forces of the United States, or for other good cause. Such leaves of absence with pay for more than 30 days require approval of the Board of Trustees (GR X-13). In order to gain approval for leaves with pay, the faculty member writes a letter to the dean requesting the leave. The dean writes a letter to the Provost requesting approval of the leave.
Any miscellaneous/personal leave over 30 days must be entered in the data base. An EO1 form is printed and forwarded to the Medical Center Chancellor’s Office along with the request from the faculty member and approval letter from the dean/director. A copy of the dean/director’s letter will be returned to the college after approval by the Provost.

**Family and Medical Leave (AR II-1.1-12):** The Family and Medical Leave Policy entitles faculty to twelve (12) weeks of unpaid leave for any of the following reasons:

1. Because of the birth of a child of the employee and in order to care for the child;
2. Because of the placement of a child with the employee for adoption or foster care;
3. In order to care for the spouse, child, or parent, of the employee if the spouse, child, or parent has a serious health condition or,
4. Because of a serious health condition that makes the faculty member unable to perform the functions of his/her position.

**Notice for Family and Medical Leave:** It is expected that any faculty member will give the appropriate dean/director notice (30 days notice is required), except in cases of emergency or any absence which may be the result of a Family and Medical Leave (FML) qualifying event during the assignment period. If a department chair/center director and/or the dean/director believes that a faculty member is presently on a leave which would qualify as FML, the department chair/center director and/or dean/director verifies with the faculty member sufficient information to confirm that belief.

The University may only designate FML based upon information ascertained directly from the faculty member, and that FML must be designated as FML prior to the faculty member’s returning from leave. After formulating facts concerning the leave, the dean/director verifies with the Office of the Provost that the faculty member is to be placed on FML. A FML Form is forwarded to the Medical Center Chancellor’s Office for approval. A copy of the form will be returned to the college, with a copy to the Personnel Office, after approval by the Provost.

When a faculty member is placed on FML, the dean/director MUST correspond with the faculty member. A sample form letter of such correspondence is attached. (Attachment A)

**Requirements of the Letter of Notice:** When a faculty member is placed on FML, the correspondence from the dean/director to the faculty member MUST contain at least the following information:

1. Official notification to the faculty member that s/he is presently on FML and/or that s/he will be eligible for a total of XX number of FML days.
2. Notify the faculty member of the beginning and of the ending date of the FML. The beginning date will be the date on which the leave for this qualifying event began. The ending date will be any ascertainable date on which the qualifying event ceases or no later than 60 working days (90 calendar days) from the beginning date.
3. Notify the faculty member of the number of FML days which will be with pay and those which will be without pay.
4. Notify the faculty member that a medical certification indicating the existence of a serious health condition of the faculty member or of the faculty member’s child, spouse, or parent is required.
5. If the faculty member is in the highest paid ten percent (10%) of all salaried employees, appropriate notice is noted to that faculty member. (See AR II-1.1.1-12), Section III.J)
6. If there are any specific position restoration rights which the employee has, such notice is made. For a faculty member who is eligible for sick leave (GR X-13 or GR X.C.5.B.[1]) and who is placed on FML for self care (with a serious health condition and unable to perform the functions of the position), the FML will be with pay, not to exceed the 12 weeks of FML, with the approval of the Provost, and the total paid leave (including the non-FML) may not exceed six months. (See GR X-13.c.5.b.[1]) For a period where one is unable to perform the functions of the position for longer than six months, application for long term disability is made.

For all other qualifying events (father's leave for birth of a child; adoption; foster care; care of a child; spouse; or parent), a faculty member may, for that qualifying event, use up to five (5) days of paid sick leave, with approval by the Provost. After the five days, the faculty member is in a no pay status unless the faculty member is ten, eleven, or twelve month faculty and has available vacation leave. Faculty with vacation leave may take that leave "at appropriate times during the period in which they are eligible to take such leave." Further questions may be directed to the Human Resource Services Office at 7-6314.

No portion of any FML qualifying event that occurs during the non-assignment period counts toward the six weeks that are needed for a request of an extension of the tenure clock. For further information on extension of the probationary period related to FML, see page 14.

The University's Family and Medical Leave Policy is found in AR II-1.1-12. An interpretation of the Family and Medical Leave Act for faculty is contained in Appendix II of AR II-1.1-12.

**Sabbatical Leave:** (See Governing Regulations Page X-11 for eligibility requirements):

The purpose of sabbatical leave is to provide opportunities for study, research, creative effort, and improvement of teaching capabilities and methods in order that the quality of the service of each faculty member to the University may be enhanced.

After six years of continuous eligible service, an individual may apply for one years leave (academic year for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary or six months' leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at full salary. After three years of continuous eligible service, an appointee may apply for six months' leave (academic semester for appointees on academic year, ten-month, or eleven-month assignments) at one-half salary. Normally "continuous service" is interrupted by a sabbatical leave; that is, no service prior to a sabbatical leave may be credited toward eligibility for future sabbatical leave.

However, in the event that it becomes necessary for an individual to postpone a sabbatical leave at the request of and/or for the benefit of the University or one of its educational units, the period of postponement is counted as part of the six years of service necessary for the individual to again become eligible for sabbatical leave. The request for and/or agreement that the sabbatical leave be postponed must be made in writing by the dean of the individual's college and be approved by the Provost. The request or agreement must specify the period of postponement and the reason for it. In no case is cumulative sabbatical leave granted for a single period longer than one full year at full salary.

Leaves of absence without pay are not normally credited toward eligibility for sabbatical leave. However, exception may be made when the leave enhances the value of the individual to the University, e.g., a leave to accept a fellowship or a grant, service for professional organizations, and so forth. In no case is the leave of absence without pay considered as an interruption of continuous service.

Sabbatical leave cannot be used as a means of augmenting personal income. A recipient may not accept gainful employment during a sabbatical leave (for an individual on an academic year assignment basis).
Faculty members who have full-time non-tenured or tenured appointments in the Regular, Special, Extension, or Librarian Title Series with the rank of assistant professor or higher, or of equivalent rank for this purpose as determined by the President, are eligible for leaves of absence after six years of continuous service in the rank of instructor or higher at the University, or for leaves of absence under a different option after three years of continuous service. All such leaves of absence shall be approved by the President or the President's designated representative.

The following procedure is used for the request of sabbatical leave:

1. The faculty member writes letter of sabbatical intention with supporting research proposal to the department chair/center director, including the exact dates, location, nature of the activity, and how the faculty member’s assignments will be covered.

2. The department chair/center director writes a letter of support to the dean/director.

3. If in agreement, the dean/director adds a letter of support .

4. A Board Action is entered in the data base and an EO1 form is printed. The entire package is forwarded to the Medical Center Chancellor’s Office for review by the Provost and, if approved, is reported to the Board of Trustees. A copy of the dean/director's letter will be returned to the college after approval by the Provost.

**Scholarly Fellowship Leave** (GR X-13)

A scholarly fellowship leave allows a faculty member to pursue a program of research for which the funding agency will not process through the University. For such leaves, faculty members may request leave with partial pay. If such leave is recommended by the dean and approved by the Provost, the faculty member is entitled to normal faculty benefits and privileges during the period of temporary change in status. Time spent on scholarly fellowship leave counts as probationary period service unless the University in granting the leave and the individual accepting it agree to the contrary.

Faculty request scholarly fellowship leave in a letter to the dean/director and, if approved, the dean/director adds a letter of support.

A board action is entered in the data base for scholarly fellowship leave and an EO1 form is printed. The entire package is forwarded to the Medical Center Chancellor’s Office for review by the Provost and, if approved, is reported to the Board of Trustees. A copy of the dean/director's letter will be returned to the college after approval by the Provost.

**Educational Leave** (GR X-13)

Faculty members can request half-time or more leave, with proportional reduction in salary, to pursue an advanced degree at the University of Kentucky. In accordance with GR X.C.6., faculty members having a rank higher than instructor cannot be considered as candidates for degrees in the discipline in which they are employed and hold academic rank. Also, faculty members pursuing degrees above the master's degree cannot hold more than a half-time work assignment either during the two full-time, consecutive resident semesters preceding the qualifying examination or during the two semesters of full-time dissertation study immediately following the qualifying examination.

If such educational leave for faculty development is recommended by the dean/director and approved by the Provost, the faculty member is entitled to normal faculty benefits and privileges during the period of temporary change in status. A period of educational leave is not credited toward eligibility for sabbatical leave nor is it considered as an interruption of continuous service. Also, for non-tenured faculty members, such a period of educational leave is not counted as probationary period service.
The approval process for educational leave is as follows:

1. The faculty member writes a letter to request educational leave to the department chair/center director, including the exact dates, location of the academic institution from which degree will be awarded, and the area of study.

2. If in agreement, the department chair/center director writes a letter of support to the dean/director indicating the reduction in salary.

3. If approved, the dean/director adds a letter of support to the packet.

4. A board action is entered in the data base and an EO1 form is printed. The entire package is forwarded to the Medical Center Chancellor’s Office for review by the Provost and, if approved, is reported to the Board of Trustees. A copy of the dean/director’s letter will be returned to the college after approval by the Provost.

**Maternity Leave:** Maternity leave (submitted under FML) is approved by the Provost under the provisions for sick leave. Approved leaves may begin at the time that the physician advises the faculty member to cease working, but usually does not exceed 30 working days or six calendar weeks.

If approved, the dean/director adds a letter of support to the packet. A board action is entered in the data base and an EO1 form is printed. The entire package is forwarded to the Medical Center Chancellor’s Office for review by the Provost. Maternity leave is not reported to the Board of Trustees. A copy of the dean/director’s letter will be returned to the college after approval by the Provost.

**Other Leaves with Pay:** The Provost may grant leaves of absence with pay to faculty members for a period not to exceed 30 days for the purpose of permitting a faculty member to attend a professional meeting, serve temporarily with an outside agency, serve in the military forces of the United States, or for other good cause. Leaves of absence, with pay, for more than 30 days, require approval of the Board of Trustees. (See GR X.C.5.)

**Leaves without Pay:** The Provost may give members of the faculty a leave of absence without pay. Ordinarily such leave is not granted for a period in excess of one year (12 months). However, such leave may be extended on application and approval by the Provost. The best interests of the University shall be a major consideration in granting an extension of any such leave. (See GR X.C.5.) A copy of the dean/director’s letter will be returned to the college after approval by the Provost.
TERMINATIONS

Voluntary

Resignations: For faculty members at the ranks of instructor or assistant professor, written notice of the intent to resign must be given no less than three months before the end of the academic year (not including the summer sessions) or 30 days after receiving notification of their appointment for the coming year, whichever date occurs last.

Faculty members at the ranks of associate professor and professor must provide written notice of their intent to resign no less than four months before the end of the academic year (not including the summer sessions) or 30 days after receiving notification of their appointment for the coming year, whichever date occurs last. (AR II-1.0-1, IV-5, E.)

When terminating the appointment of a voluntary faculty member, the primary college must determine if that faculty member holds any joint appointments and, if so, must contact the joint appointment unit to determine if they wish to keep the faculty member’s appointment in their unit.

Retirement: Faculty are considered Group I personnel for retirement purposes. Participation of Group I personnel employed on or after July 1, 1964, is voluntary for those employees who have not attained age 30 and mandatory for those employees who have attained age 30.

Retirement prior to age 65 generally is considered as early retirement. Early retirement is authorized when the combination of the employee’s age and years of regular full-time service (with a minimum of 15 years of continuous service at the time of retirement) equals or exceeds the number 75. Regular part-time service will be counted on a pro rata basis. Employees taking advantage of this early retirement must provide written notification through normal administrative channels to their appropriate chancellor or vice president at least three months in advance of the desired retirement date.

An employee who is taking early retirement and who is eligible for benefits shall be permitted to retire with entitlement to all University benefits except supplemental retirement income if applicable at the time of retirement.

The normal retirement date for all employees of the University of Kentucky employed on or after July 1, 1964, and those employed prior to that date who attain age 56 after June 30, 1964, is hereby established as the end of the University’s fiscal year in which the employee attains age 65 or, upon administrative approval at least three months in advance, during the month in which the employee attains age 65.

With the exception of executives, no mandatory retirement date is applicable to employees of the University of Kentucky. The mandatory retirement date, as an executive, for all employees of the University of Kentucky employed in bona fide executive or high policy making positions for two or more years prior to the attainment of age 65 and who are entitled to an immediate nonforfeitable annual retirement benefit from the University which equals or exceeds the amount per year specified by federal statute is hereby established as the end of the University’s fiscal year in which the employee attains age 65. (See AR II-1.6-1)

Phased Retirement: The Phased Retirement Program is designed to provide an opportunity for eligible full-time tenured faculty members to make an orderly transition to retirement through part-time service. It is entirely voluntary and will be implemented by written agreement between faculty members and the University. The Program is ongoing but may be eliminated at any time by the University. The effective date of the Program is July 1, 1996.
The Phased Retirement Program is available to all full-time tenured faculty members who have completed fifteen (15) years of full-time faculty service at the University of Kentucky and who have reached the date of normal retirement as defined in AR II-1.6-1. Individuals who have already taken regular retirement are not eligible for phased retirement under this Program. Phased retirement that is requested and approved must commence at the beginning of the first fiscal year following approval of the request.

A faculty request for phased retirement shall be submitted to the department/division and college for initial endorsement, shall be reviewed and recommended by the appropriate chancellor, and is subject to final approval by the President. A request for phased retirement shall be submitted at least six (6) months before the date upon which such appointment would become effective, unless a later submission of such a request would be totally acceptable to the affected department and college. (See AR II-1.6-2)

The department/division and college develop agreement. Once the agreement is given to the faculty member, he/she has 45 days to review the agreement. Once signed and returned to the college, the faculty member has 10 days to change their mind. If accepted after the 10-day period, the paperwork is forwarded to the Medical Center Chancellor’s Office for approval.

**Involuntary:** Except in cases of financial emergency, the termination of a tenured faculty or the dismissal of a faculty prior to the expiration of a non-tenured appointment must be, in accordance with KRS 164.230, only for reasons of incompetency, neglect of or refusal to perform duties, or for immoral conduct. (AR II-1.0-1, IV-3, C)

Dismissal of a faculty member with tenure or of a non-tenured faculty member before the end of a specified term of appointment must be preceded by discussions between the faculty member and the appropriate administrative officer or officers looking toward a mutual settlement. In the event of failure to agree upon settlement, the Provost is responsible for the preparation of a statement of charges which is furnished to the faculty member and the Advisory Committee on Privilege and Tenure of the University Senate. For an explanation of the procedures for this, please see GR X.B.5.

In a case of termination because of a financial emergency, the faculty member may have the issues reviewed by the Advisory Committee on Privilege and Tenure of the University Senate with the right of appeal to the President and the Board of Trustees. The faculty member is given notice as soon as possible and never less than 12 months’ notice. The released faculty member’s position is not filled by a replacement within a period of two years unless the released faculty member has been offered reappointment and given a reasonable time within which to accept or decline it.

A. **Terminal Reappointments:** Individual written judgments of consulted faculty members must be obtained when a terminal reappointment is recommended for a faculty member. The department chair/center director forwards their recommendation to the dean for a terminal reappointment at any rank.

The dean/director, through delegation from the Provost, has authority to give final approval to a recommendation for terminal reappointment at any rank except at the rank of associate professor without tenure. In this case, a non-tenured associate professor in the next-to-last year of a probationary period **must** be considered for tenure, unless the faculty requests, in writing, that such not be done because of resignation or willingness to accept, as applicable, a terminal reappointment or a notice of non-renewal of appointment.

B. **Non-Renewal:** Part-time, visiting, or temporary short-term appointments with explicit terminal dates of one year or less terminate at the expiration of the term without notice. (AR II-1.0-1, IV-2, B.)
Three months' notice is required for faculty in their first year of service. The first year of service is considered as the effective date of the faculty appointment through June 30th of that fiscal year. For these faculty, notice must be given no later than March 1st of the fiscal year of their initial appointment (which is also the first year of service). For example, if a faculty is initially appointed on January 1, 1998, their first year of employment would end on June 30, 1998.

Six months' notice is required for faculty in their second year of service. The second year of service is the second fiscal year of the faculty appointment. For these faculty, notice must be given no later than December 15th of the fiscal year of their second year of appointment.

One year's notice is required for faculty after they have been at the University for more than two years. Notice not to renew the appointment must be given at the time the faculty member is considered for reappointment for the next fiscal year. If a faculty member is reappointed for the next fiscal year, the department must be ready to support them for a two-year period, since they can only be notified that they will not be reappointed during the reappointment process, must be given a full year's notice of non-renewal, and must be given a full year's employment after notice is given.

1. **Academic Freedom:** If a faculty on a non-tenured appointment or post-retirement appointment alleges that a decision not to reappoint them was caused by considerations which violated their academic freedom, or that they were given less advance notice than specified in the Administrative Regulations, they must present their allegations, in writing, to the University Senate Advisory Committee on Privilege and Tenure within 60 days after being notified in writing by their respective dean of the decision not to reappoint. (AR II-1.0-1, IV-4, D.)

   Allegations are given preliminary consideration by the Advisory Committee on Privilege and Tenure, which attempts to settle the matter by informal methods. If the difficulty is unresolved at this stage, and if the Committee so recommends, the procedures set forth in PART X.B.5.b of the Governing Regulations are applied, except that the faculty making the complaint is responsible for stating the grounds upon which he/she base his/her allegations, and the burden of proof rests upon him/her.

2. **Appeals:** Any related appeal(s) to the Provost concerning procedural matters or privilege and/or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom must be initiated in writing by the concerned faculty member within 60 days after being notified in writing by the dean of non-renewal of appointment.

3. **Suspension:** Until a final decision on termination of an appointment has been reached, the faculty member must be suspended, or assigned to other duties in lieu of suspension, only if immediate harm to the faculty member or others is threatened by the faculty member’s continuance. Before suspending a faculty member, pending an ultimate determination of the individual’s status through the hearing procedure, the President consults with the University Senate Advisory Committee on Privilege and Tenure. Salary continues during the period of suspension. (AR II-1.0-1, IV-4, C., 3.)

**Processing Steps**

A. **Voluntary**

   1. **Resignations:** The Dean’s Office receives a copy of the letter of notice of resignation from a faculty member, along with a cover letter of support from the department chair/center director. If the effective date is less than four (4) months for associate professor and professor or three (3) months for instructor and assistant professor, the department chair/center director must request a waiver from the dean.
The Dean’s Office enters the resignation in the data base, prints an EO1 form and forwards the EO1 form along with all supporting documentation to the Medical Center Chancellor’s Office with a letter of support from the dean. If a waiver of the required notification period has been requested by the department chair/center director, the dean’s letter requests the waiver in the letter of support to the Provost. The Provost reviews the request and the college is notified of the approval of the waiver. If no waiver is requested, the college receives no further communication from the Medical Center Chancellor’s Office for resignations. Resignations are not reported to the Board of Trustees.

2. **Retirements:** The Dean’s Office receives a letter of support from the department chair. The Dean’s Office enters the retirement in the data base, prints an EO1 form and forwards the EO1 form along with all supporting documentation to the Medical Center Chancellor’s Office with a letter of support from the dean. The Provost reviews the request and the college is notified of the approval of the retirement. The retirement is not reported to the Board of Trustees until approval of the retirement is received from Human Resources.

3. **Phased-Retirements:** After accepted by the faculty member, a board action is added to the data base and an EO1 and EO2 form is forwarded to the Medical Center Chancellor’s Office with a letter of support from the dean. Once approved by the Provost (with copy back to the college), the action is sent to the President for his approval.

**B. Involuntary**

1. **Terminal Reappointments:** Obtain material:
   - Department chair/center director’s letter
   - Consulted faculty letters (all full-time faculty at or above the rank of assistant professor who have been members of the department for more than two years must be consulted).

   Upon receipt of materials from the department chair/center director supporting the terminal reappointment of a faculty member, the Dean’s Office enters the terminal reappointment in the data base and prints an EO1 form. The EO1 form and all supporting documentation (including a signed EO2 form) are forwarded to the Medical Center Chancellor’s Office with a letter of support from the dean.

   Once the Board of Trustees approves the recommendation, the college/library and department/center receives a signed copy of the EO2 form with a copy of the letter forwarded to the faculty member.

   If the dean disapproves the recommendation for terminal reappointment, the dean notifies the department of this decision in writing.

2. **Non-Renewal**

   a) **Part-Time/Temporary/Visiting:** Upon receipt of notification from the department chair/center director that a faculty appointment is not to be renewed, the Dean’s Office enters the appropriate action in the data base and prints an EO1 form. The EO1 form and all supporting documentation are forwarded to the Medical Center Chancellor’s Office with a cover letter from the dean. These are not reported to the Board of Trustees; therefore, no further communication is received by the college/library from the Medical Center Chancellor’s Office.

   b) **Full-Time:** After proper notification to faculty employed year-to-year on a fiscal or academic year basis (see X.B.2.), the department chair/center director informs the Dean’s Office of those faculty who will not have their contract renewed. The Dean’s Office enters
the termination in the data base and prints an EO1 form. The EO1 form and all supporting documentation are forwarded to the Medical Center Chancellor’s Office with a cover letter from the dean. These are not reported to the Board of Trustees; therefore, no further communication is received by the college from the Medical Center Chancellor’s Office.
## AFFIRMATIVE ACTION INFORMATION

### I. Recommendation

<table>
<thead>
<tr>
<th>Name ____________________________</th>
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<th>Number</th>
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<table>
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<tr>
<th>Title ____________________________</th>
<th>HEW Code (Same as PAR) _________________________</th>
<th>Total</th>
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<tr>
<th>Sex ________________</th>
<th>Applicants Received</th>
<th>Applicants Interviewed</th>
<th>Offers Written</th>
<th>Offers Declined</th>
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### II. Number

<table>
<thead>
<tr>
<th>Number</th>
<th>Minority</th>
<th>Women</th>
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</table>

### III. Advertising Information—Include Dates:

Listed with Personnel (Date) ______________

____________________________________________________________________________

____________________________________________________________________________

### IV. Reason offer(s) not Accepted by Woman or Minority:

### V. Please Explain Determining Factors in your Decision to Appoint This Individual:

I certify that University Procedures to achieve equal opportunity have been observed.

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
<th>Signature</th>
<th>Dean/Director</th>
<th>Date</th>
</tr>
</thead>
</table>

Department/Division ____________________________

College ____________________________

White Copy: Vice President; Green Copy: Equal Opportunity; Canary Copy: Dean/Director; Pink Copy: Personnel; Goldenrod Copy: Department/Division AA4-7541-2630 (8/88)
i:\aadata\aptman\aaform.doc
INFORMATION FOR APPOINTMENT/PROMOTION/TENURE DOSSIERS  
(to be inserted in front of dossier)

ALL COLLEGES

☐ Initial Appointment Date: ________________________

☐ If tenure-track, end-of-probation date: ______________

☐ Title Series: ☐ Regular ☐ Special ☐ Clinical ☐ Research ☐ Adjunct
   ☐ If Special, Clinical, Research, or Adjunct – Attach a copy of the Job Description  
   (with letter of approval)

☐ Appropriate AR (copy attached): ______________________________

COLLEGE OF MEDICINE ONLY

☐ Designation Description: ☐ Academic Basic Scientist (Regular or Special Title Series)  
   ☐ Academic Clinician/Scientist (Regular or Special Title Series)  
   ☐ Academic Medical Educator (Regular or Special Title Series)  
   ☐ Research Faculty (Research Title Series)  
   ☐ Clinical Faculty (Clinical Title Series)  
   ☐ Medical Educator (Adjunct Title Series)  
   ☐ Community-Based Faculty (Voluntary or Adjunct Title Series)

☐ Offer Letter (copy attached)
CHECK LIST
ASSOCIATE VICE PRESIDENT OF ACADEMIC AND STUDENT AFFAIRS’ OFFICE

**Instructions**: This check list is for both individuals being considered for appointment and promotion. Only applicable information are checked. **Information is included in the dossier in the order listed, with a tab for each item.**

<table>
<thead>
<tr>
<th>Item</th>
<th>Enclosed</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Information for Appointment/Promotion/Tenure Dossiers Page (for appointments or promotions at the Associate Professor and Professor levels of award of tenure)</td>
<td></td>
</tr>
<tr>
<td>2. Check List</td>
<td></td>
</tr>
<tr>
<td>3. Dean/Library Director’s Letter</td>
<td></td>
</tr>
<tr>
<td>4. Letter from APT Committee</td>
<td></td>
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<tr>
<td>5. Signature Form</td>
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</tr>
<tr>
<td>6. Title Page</td>
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<tr>
<td>7. Information Page</td>
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<tr>
<td>8. Affirmative Action Form</td>
<td></td>
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<tr>
<td>9. Distribution of Effort Form(s)</td>
<td></td>
</tr>
<tr>
<td>10. Summary of Department Chair/Center Director’s Consultation with Tenured Faculty (Two and Four-Year Reviews, for Tenure-Track Only)</td>
<td></td>
</tr>
<tr>
<td>11. Annual Performance Reviews (Since Last Promotion or Tenure Decision)</td>
<td></td>
</tr>
<tr>
<td>12. Current CV</td>
<td></td>
</tr>
<tr>
<td>13. <strong>Official</strong> transcript from Institution from which Highest Degree was Earned (For Appointment of New Faculty Only)</td>
<td></td>
</tr>
<tr>
<td>14. Department Chair/Center Director’s Letter</td>
<td></td>
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<tr>
<td>15. Letter of Evaluation from Joint Appointment Unit</td>
<td></td>
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<tr>
<td>16. Consulted Faculty Letters</td>
<td></td>
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<tr>
<td>17. Outside Department/Inside U.K. Letters</td>
<td></td>
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<tr>
<td>18. Outside-U.K. Letters</td>
<td></td>
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<tr>
<td>19. Teaching Portfolio (including student evaluations) for Tenure-Track Appointments or Summary of Student Evaluations, if Appropriate, for Other Appointments</td>
<td></td>
</tr>
<tr>
<td>20. Examples of Research/Creative Productivity</td>
<td></td>
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</table>

Remarks:_______________________________________________________________________________
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_______________________________________________________________________________________
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R6/01

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APPOINTMENT, PROMOTION, TENURE

Faculty Member:

Please check the appropriate items and sign on the line provided for signature.

I have reviewed:

_________ My Curriculum Vitae

_________ Transcript of Institution Granting Highest Degree (For Appointment Only)

_________ Teaching Portfolio, including summary of student evaluations (tenure-track only)*

_________ Summary of Student Evaluation (non-tenure-track only)*

_________ Examples of Research and Creative Productivity

___________________________________ Faculty Member’s Signature

___________________________________ Date

*Not Required for Librarian Title Series Promotions

a:\check.lst
Revised 5/96
Position Description Template
Chandler Medical Center

Department of ________
(Division of ________)

Position Description
___________Title Series

POSITION NEED
Provide a brief statement of need for position

This (insert title series) Title Series position is required to…

POSITION DESCRIPTION
Brief descriptive paragraph with listing of primary responsibilities

SOURCE OF FUNDING (if applicable)

QUALIFICATIONS
For example:
List degrees, training, and licensure requirements

   Board eligibility/certification anticipated at the lowest level of appointment
List skills required – e.g. patient care experience, teaching experience, computer skills, communication skills
Knowledge required – certain focus area

SPECIFIC REQUIREMENTS
Identify faculty appointments in departments/divisions
Identify appointments for practice in the hospital, clinic, VA or other health care facility

PERCENTAGE OF TIME AND EFFORT (DOE)

List percentage of effort for major types of responsibilities and as appropriate for the particular title series. Any category listed here should be addressed in both the primary responsibilities and the appointment/promotion criteria but not all categories are required for every title series.

Patient Care (if appropriate)               %
Teaching (if appropriate)                  %
Research/Scholarly Activity (if appropriate) %
Professional Development (if appropriate)  %
Administration (if appropriate)            %

100%
CRITERIA FOR APPOINTMENT AND/OR PROMOTION

These criteria should include the areas listed in the DOE as appropriate for the title series and should be balanced in a similar proportion as in the DOE. Expectations should reflect growth across the levels of appointment/promotion. Also, job responsibilities should not be re-stated in the criteria. For example: Do not include Director of a program as an appointment/promotion criterion. This is a job responsibility and not an appointment/promotion criterion.

Each criterion should specify a measurement(s) for the evaluation process.

Assistant Professor (Local Recognition*)

When listing criteria for the rank of Assistant Professor, try not to use absolutes. Use words like, potential for or ability to. For example: instead of saying excellence in patient care, say potential for excellence in patient care or demonstrated ability to provide patient care. Most individuals at this level have not had the opportunity to demonstrate “excellence”.

1. Teaching
2. Patient Care
3. Research/Scholarly Activity
4. Professional Development
5. Administration

Associate Professor (Regional Recognition*)

In addition to meeting the criteria for Assistant Professor, appointment or promotion to the rank of Associate Professor shall require

1. Teaching
2. Patient Care
3. Research/Scholarly Activity
4. Professional Development
5. Administration
Professor (National and perhaps International Recognition*)

In addition to meeting the criteria for Associate Professor, appointment or promotion to the rank of Professor shall require:

1. Teaching
2. Patient Care
3. Research/Scholarly Activity
4. Professional Development
5. Administration

Note: Appointment or promotion to the rank of professor is recognition of attainment rather than length of service.

* These are the usual expected levels of recognition required at each level of appointment/promotion. The level of recognition may vary with the title series e.g. some clinical title series positions may not have the opportunity to achieve national and/or international recognition and this should be considered in the initial establishment of the position description.

Approved 8/99
REQUEST FOR FAMILY AND MEDICAL LEAVE
and
CERTIFICATION OF PHYSICIAN OR PRACTITIONER FORM

SECTION A. This section, consisting of twelve (12) questions, is to be completed by the employee who
is requesting Family and Medical Leave in accordance with Policy 88.0 (A.R. II 1.1-12).

1. Employee’s full name: ______________________________________________________

2. Employee’s social security number: _______ - ____ - _____

3. Department in which employee is regularly employed: __________________________

4. Employee is seeking Family and Medical Leave (FML) for which of the following reasons:
   _____ Birth of a child and to care for that child
   _____ Placement of child with employee for adoption or foster care
   _____ Care of spouse, child, or parent of employee
   _____ A serious health condition prevents employee from being able to perform functions of position.

5. Patient’s name (if other than employee): _________________________________

6. Patient’s relationship to employee (if not employee): __________________________

7. Date on which requested FML is to commence: ______________________________

8. Date on which FML would probably end: ______________________________

9. Number of days FML will be taken with pay _______; without pay _______

10. Number of days of temporary disability leave which will be used ______

11. Number of days of vacation leave which will be used ______

12. If FML is to be taken for care of a family member, state below the care which the employee will
    provide, an estimate of the time period which this care will be provided, and, if FML is requested on
    intermittent basis or on a reduced leave schedule, a requested schedule:

Employee’s signature: ____________________________ Date: __________________

FORM 88.4.1
SECTION B. This section is to be completed by physician or practitioner.

1. Employee’s name: _______________________________________

2. Patient’s name (if not employee): _________________________________________

3. Date on which condition commenced or was diagnosed: __________________

4. Probable duration of the condition: ___________________________

5. Is inpatient hospitalization required? Yes _____    No____

6. Dates hospitalization will be required: From ___________    to _____________

7. If patient is an employee, is employee able to perform work of any kind?  Yes ___  No ___

8. (If answer to #7 is NO, skip this question.) Is employee able to perform the functions of employee’s position? (Please answer this question after reviewing statement from UK concerning the essential functions of the employee’s position, or if no statement provided, after discussion with the employee.)
   Yes ___    No ___

9. Indicate general regimen of treatment (Indicate schedule of visits or treatment necessary; referral(s) to other provider of health services).

The following questions (#10 through #13) are to be answered only if the certificate related to the care for an employee’s seriously-ill family member:

10. Is inpatient hospitalization of the family member required?  Yes ___    No ___

11. Does (or will) the patient require assistance for basic medical, hygiene, nutritional needs, safety, or transportation?  Yes ___    No ___

12. After review of the employee’s signed statement (See Section A, opposite page.), is the employee’s presence necessary or would it be beneficial for the care of the patient? (The answer to this question may include psychological comfort and will probably involve your expressing a professional opinion.)
   Yes ___    No ___

13. Estimate the period of time needed or the period of time the employee’s presence would be beneficial:

   __________________________________ _________________________ ________
   Name, physician or practitioner                    Signature       Date
   (please print)

Type of practice (field of specialization, if any) ________________________________

FORM 88.4.1
Dr. J. J. Jones  
XXX Main St.  
Lexington, KY 40500

Dear Dr. Jones:

This letter officially notifies you that you are eligible for a Family and Medical Leave (FML) in accordance with AR I.1-12. Since you have never taken any FML leave prior to this occasion, you are eligible for a total of 12 weeks (60 working days) of FML leave within the next twelve months.

Your FML leave will begin on ___(date)___ since that is the day on which your surgery is scheduled. You have indicated that your physician has said that you will need four weeks (20 working days) to recover. Thus, unless you notify me otherwise, this FML leave will end on ___(a date which will be 20 working days from the first date in this sentence).

Since you will be “disabled” during this period of time, you will be on sick leave and, subject to approval of Provost Holsinger, your sick leave will be with pay. Of course, during these 20 days of paid leave, you will receive your usual pay check; the University will pay the health insurance credit, and your cost of the family plan will be deducted from your check during the leave. The University will pay for the basic life insurance ($7,500) during this leave. Any optional life insurance and the optional accidental death insurance will be paid from your check. In addition, if you are enrolled in the 125 Plan, you must contact the Employee Benefits Office at 257-3331, if you have any questions. [Optional language if an employee goes on leave without pay, during any leave without pay, the employee MUST MAKE PAYMENT for the family portion of the health insurance plan; the University will pay the health credit during the leave without pay. The employee must also pay the optional life insurance and accidental death insurance premiums.]

I would remind you that a 30 day notice is required for taking FML leave. If you plan to take another FML leave in the future, remember to give that notice, unless the FML qualifying event is an emergency or an unforeseen event.

The attached Medical Certification form should be completed by you and by your attending physician. I am requesting that you return that completed form to me prior to your FML leave which is scheduled to begin on ___(date--same date as first sentence of second paragraph).

Everyone in the department is concerned about your health, and we all wish you a speedy recovery.

Sincerely,

T. A. Smith  
Dean
SECTION VII
CODE OF FACULTY RESPONSIBILITIES

7.1.0 APPLICABILITY
This Code shall apply to all faculty members associated with the University System of the University of Kentucky and to all graduate students or other personnel having teaching or research assignments in that System, hereinafter referred to as the teaching and research personnel.

7.2.0 RESPONSIBILITIES
The teaching and research personnel of the University System of the University of Kentucky hereby subscribe to the following specific responsibilities which can be enforced under this Code.

7.2.1 GENERAL RELATIONS
A. The teaching and research personnel shall respect the rights of all campus members to pursue their academic and administrative activities.
B. They shall respect the rights of all campus members to free and orderly expression.
C. They shall act with propriety in all dealings with members of the University community.
D. They shall respect the right of any member of the University community to privacy, including privacy of desk, carrel, and office space, and refrain from improper or false disclosure of such member's social or political views or activities. (It is not improper for a faculty member to make a disclosure upon request of a person entitled to such information.)
E. They shall respect the rights of all campus members to be given fair treatment and to be judged on basis other than race, religion, political belief, age, or sex. Sexual harassment is considered by the University of Kentucky to be one form of sexual discrimination. (See Board of Trustees Minutes, March 1, 1983.) Unwelcome sexual advances, requests for sexual favors, or other verbal or physical actions of a sexual nature constitute sexual harassment when:

Submission to such conduct is made explicitly or implicitly a term or condition of an individual's employment, promotion, or academic standing; as a basis for employment, promotion, or academic decisions; or substantially interferes with an individual's work or academic performance, or creates an intimidating, hostile, or offensive academic environment. (US: 4/11/83)

7.2.2 ADMINISTRATIVE RELATIONS
A. The teaching and research personnel shall utilize the property of the University in accordance with the official rules.
B. They shall comply with the Governing Regulations, the Administrative Regulations, and the rules and regulations promulgated and approved by the University Senate.
C. They shall engage in consulting outside the University assignment only in accordance with the established provisions.
D. They shall state, when speaking as a private person and the institutional affiliation is mentioned, that he or she does not speak for the University of Kentucky.

7.2.3 STUDENT RELATIONS
A. The teaching and research personnel shall uphold the student academic rights as set forth in the Rules of the University Senate (see Section VI).
B. They shall present the subject matter of a course as announced and approved by the faculty in accordance with the procedures set forth by the University Senate, and to avoid the persistent intrusion of material which has no relation to the subject.
C. They shall meet classes as scheduled in accordance with University regulations. (Absences caused by illness or emergencies are clearly excusable; absence owing to attendance at scholarly meetings, occasional professional service, pedagogical experimentation, and the like, are exceptions which should be approved by the department chair and, where appropriate, substitution or reschedulings should be arranged.)
D. They shall be available to students for advising and other conferences, preferably by posting office
hours and/or by allowing students to arrange for appointments at other mutually convenient times.
E. They shall arrange for appropriate interaction and communication with graduate students in the
direction of their theses.
F. They shall return to, discuss with, or make available to students all papers, quizzes and
examinations within a reasonable period of time, unless the confidentiality of the examination
precludes. If any of the records mentioned above are not returned to the students, they shall be
retained by the instructor until 365 days subsequent to the conclusion of the academic term in which
the problem occurred. In addition, student records and grading policy procedures including roll
books, syllabi and attendance records (if applicable)--or copies of this information--shall be on file
with the instructor or the department office whenever the instructor will no longer be available.(US:
10/16/89)
G. To give final examinations in accordance with procedures approved in Section V., 5.2.4.6.
H. They shall inform students when their individual or collective efforts are to be used for professional
or personal advancement of a faculty member, or when the student(s) is (are) to be used as
research subject(s), and in either case, to ensure that the student may elect not to participate
without prejudice to his or her academic standing; and to recognize appropriately any significant
contribution by the student(s).
I. They shall know the academic requirements and the various degree programs of the University
affecting students whom they advise.

7.3.0 ENFORCEMENT
Any member of the University community (faculty, staff member, or student) with a complaint about an
alleged violation of these responsibilities shall process it through normal channels. Accordingly, the
process should begin with discussion with the person accused of the violation. If a satisfactory solution
between the parties cannot be accomplished, then the accused's immediate supervisor or, if the
complainant is a student, the Academic Ombud should be asked to mediate. If such mediation proves
unsuccessful then the matter should be forwarded to the next Administrative level with a written report
concerning the matter with copies of the report to the parties involved. This process of mediation and
report should follow normal channels up to
and including the dean of the College to which the person accused of a violation is assigned.

If the academic offense involves research and/or extramural funding the administrative rule for handling
the offense is outlined in Administrative Regulation II - 4.0.2. [US: 2/10/97]

*Although the rules state that "the process should begin with discussion with the person
accused of the violation", a student is not required to discuss his/her complaint with the
faculty member before seeking mediation by the Ombud. (RC: 12/17/85)

In the event that after the appropriate processing through these channels the dean is unable to mediate
satisfactorily between the parties, or in the event that the dean is the complaining party and is unable to
accomplish a satisfactory solution with the accused, he/she shall make a written report containing
his/her recommendations and findings and forward it to the appropriate Chancellor through the
University Senate Advisory Committee on Faculty Code with copies to the accused and the
complainant. Upon receipt of the report from the dean, the committee shall set a date for a hearing
which must be within thirty (30) days of receipt of the Dean's report. The Committee shall then
determine whether to hold closed or open hearing(s) after consultation with the parties in dispute. After
the completion of the hearing(s), the Committee shall forward its recommendations to the appropriate
chancellor with respect to (1) whether or not the accused has violated the Code, and, if so, (2) the type
of sanction, if any, which should be imposed. The chancellor shall make a final decision after review of
the report of the Committee. In any event, however, the accused shall have the normal right of appeal to
the President and the Board of Trustees in accordance with established procedures.

7.4.0 SANCTIONS
Sanctions which may be recommended by the Committee include:
A. A warning that conduct violates the Code as interpreted.

B. A reprimand:
   1. Informal (to accused only);
   2. Formal (to accused with notice to his/her administrative superior).

C. Forfeiture of pay from present salary for actual monetary damage suffered by the University through unauthorized use of University property.

D. Recommendation for proceeding under KRS 164.230, dismissal for reasons of "incompetency, neglect of or a refusal to perform his/her duty, or of immoral conduct" Note: Nothing in this document is intended to inhibit in any way the right of the appropriate Chancellor to initiate charges against a faculty member under KRS 164.230 in accordance with the procedures established by the Governing Regulations so long as no written report has yet been received by the Committee from the dean.

7.5.0 RIGHTS OF THE ACCUSED
A. In all proceedings under this Code an accused member of the teaching and research personnel has the right:
   1. to be heard in his or her own defense;
   2. to be informed in writing of the complaint with full particulars and to be given at least 20 days before any action is taken to answer the complaint;

   *The requirement that a faculty member be informed in writing of the complaint at least 20 days before any action is taken refers to a hearing before the Senate Advisory Committee on the Faculty Code, not to any step in the mediation process; the Advisory Committee has the responsibility for providing this information to the faculty member. (RC: 12/17/85; RC: 4/29/86)

   3. to enjoy professional privileges while appealing or undergoing a hearing process. (This does not mean that a change of assignment cannot be made in accordance with the Governing Regulations.)

B. With regard to all proceedings of the Committee, the accused member has the right:
   1. to receive a copy of all rules and procedures governing the actions of the Committee in sufficient time to familiarize himself or herself with them;
   2. to have counsel, and to question the witness(es) against the accused, to present evidence and/or witness(es) in his or her own behalf in all Committee processes;
   3. to challenge the impartiality of anyone sitting on the Committee and to have up to two of the members of the Committee replaced;
   4. to remain silent when testimony might tend to be detrimental to himself/herself, such refusal not to be used by the Committee in making its decision.

7.6.0 RIGHTS OF THE COMPLAINANT(US: 2/9/87)
No member of the University or community shall be penalized academically or professionally for filing or processing a complaint in good faith under this Code.

A. In all proceedings under this Code, a complainant has the right:
   1. to be heard as to her or his complaint;
   2. to receive a copy of any responses from the accused to the complainant's charges;
   3. not to be penalized academically or professionally for filing or processing a complaint in good faith under this code.
B. With regard to all proceedings of the Committee, the complainant has the right:
   1. to receive a copy of all rules and procedures governing the actions of the Committee in sufficient time to familiarize herself or himself with them;
   2. to have counsel or other advisor present, to question the witness(es) of the accused, and to present evidence and/or witness(es) in her or his own behalf in all Committee processes;
   3. to challenge the impartiality of anyone sitting on the Committee and to have up to two of the members of the Committee replaced.

7.7.0 LIMITATIONS
Any complaint processed under these procedures must be initiated within sixty (60) days of knowledge of the alleged violation of any of the listed responsibilities as stated herein, but in no event later than one year after the actual commission of the alleged offense.

   *The requirement that a complaint be initiated within 60 days is met if the student has communicated the complaint to the Academic Ombud within 60 days after the student discovers the problem. (RC: 4/29/86)

7.8.0 COMPOSITION OF COMMITTEE

7.8.1 BASIC AND SPECIAL PANELS
The Committee on the Faculty Code shall consist of:
A. a basic panel consisting of six regular and three alternate members together with a chair (who shall be non-voting except in the case of a tie vote), all of whom shall be tenured members of the University faculty of at least the rank of Associate Professor, and,
B. two separate panels, one of six undergraduate students who shall have at least junior status and one of six graduate and/or professional students including at least three with teaching or research responsibilities.

7.8.2 USE OF PANELS
When neither the complainant nor the accused is a student, the Committee shall operate solely with the basic panel. If, however, the complainant or the accused is a student, he or she shall have the right to have two members of the panel of the student's own status added to the basic panel. The two student members shall be chosen at random by the chair of the Committee. In the event that the accused and complainant are both graduate students, only two students from the graduate panel will be selected.

7.8.3 SELECTION OF PANEL MEMBERS
The chair, six regular basic panel members and the three alternates shall be selected by the President of the University from a list recommended by the University Senate Council in accordance with established procedure. The Committee members and alternates shall serve three year terms on a staggered basis. The student panel members shall be selected by the President from lists submitted by the Student Government Association in accordance with established procedures. In the case of the graduate students, the Student Government Association is directed to consult with the Graduate and Professional Student Association in making its recommendations. The term of office for each student member shall be one year and the individual member may be reappointed once.

7.8.4 RECOMMENDATIONS OF THE COMMITTEE
The recommendation of the Committee shall be determined by majority vote. In the event of a tie vote, the tie shall be broken by the decision of the chair. The findings and recommendations of the Committee shall be transmitted to the complainant and the accused as well as to the appropriate chancellor. The chancellor shall thereupon make his/her decision and report it to the accused, the complainant, and the forwarding dean, with copies to the chair of the Committee.

AUGUST 2001 UNIVERSITY SENATE RULES SECTION VII
August 23, 1995

MEMORANDUM

TO:     Frank Butler
        Jordan Cohen
        David Nash
        Tom Robinson
        Carolyn Williams
        Emery Wilson

FROM:  James W. Holsinger, Jr., M.D.
       Provost

RE:    Nepotism

I am asking your assistance to establish a new process for nepotism requests. In the future, requests
should be routed through you to me. As you review each request, I would expect that you consider the
following facts:

1) No appointment should be recommended or approved in which there is any supervisory
   authority over another relative in the supervisory chain.

2) No appointment should be submitted or approved if there is any reason to believe that the
   appointment recommendation has been influenced by another relative within the unit.

Please communicate this change to the departments within your college or division.

/nmn
nephol(k)
## Matrix of Required Consultation and Written Judgments from Unit Faculty

<table>
<thead>
<tr>
<th>Consultation with, or written judgment of:</th>
<th>New appointment: temporary, part-time, visiting, voluntary, post-retire.</th>
<th>New appt.: asst., assoc. and prof. In regular, special, clinical, research, or adjunct title series or joint</th>
<th>Reappointment</th>
<th>Decision not to reappoint</th>
<th>Terminal Appt.</th>
<th>Promotion to Assoc. Professor w/tenure</th>
<th>Promotion to Professor</th>
<th>Tenure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Each tenured professor¹</td>
<td>C</td>
<td>R</td>
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<tr>
<td>Each tenured associate professor¹</td>
<td>C</td>
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<tr>
<td>Each untenured asst/assoc professor in dept. 2 or more years¹</td>
<td>C</td>
<td>R</td>
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<td>Each tenured faculty member¹</td>
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<td>Untenured, tenure-track faculty in dept. less than 2 years; non-tenure-track series¹</td>
<td>P</td>
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<td>Directors of MDC²</td>
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C = Consultation required, but not written judgment.  
R = Written judgments required from consulted faculty.  
I = Written judgments not required, but may be invited to write.  
P = Consultative participation may be invited, but not required.

¹ Faculty persons appointed in the research and clinical title series are not eligible to vote on matters relating to faculty appointment, retention, promotion or tenure, except that clinical title series faculty shall be consulted and submit written judgments on matters relating to clinical title series faculty. Also, faculty members on approved leaves of absence, and faculty with primary administrative, service or other assignments outside of the department may, but are not required to, provide written judgments on all recommendations.

² Directors of Multidisciplinary Research Centers and Institutes in which a faculty member under review has an appointment.

\aadata\aptman\matrix
Why a New DOE?

A new DOE is being introduced in the Medical Center this year in order to meet accountability requirements and to move towards an electronic DOE.

Accountability. The legislature in Frankfort, like that in many other states, wants to be assured that the State dollars that help to support higher education institutions are used wisely and effectively. With this end in mind, the legislature two years ago passed a bill, Senate Bill 109, that requires all State supported institutions of higher education in Kentucky to report their performance on a number of indicators. The reports are distributed by the Council on Higher Education to legislators and a wide variety of individuals and organizations throughout the Commonwealth.

For most of the indicators we have been able to report our performance without instituting new data collection mechanisms. But we cannot do that for some of the indicators. We need to collect information on how many hours faculty are in contact with students. Also, we need to collect information about how much time faculty spend preparing and grading in courses. The DOEs for the Medical Center have therefore been changed to collect this required information.

This year, UK has modified the categorization of activities on all DOEs in the University so that faculty efforts are correctly and accurately reported to the Council on Higher Education. In the past, supervision of theses and dissertations has been categorized as administration. This activity is now properly included in the Instruction section of the DOE. Similarly, committee work by faculty was labeled as administration, but is more properly described as service to UK in support of our education, research and service missions. Administration on the DOE is now correctly limited to the work done by people who hold administrative positions, such as Deans, Departmental Chairs, Center Directors, and the like.

Because more information is needed in the new DOE, it will take longer to complete this year. However, we have made the DOE process electronic so that you and your business officer will save time in future years.

An Electronic DOE. In the past, each faculty member needed to redo his or her DOE yearly, and staff needed to type the resulting DOE form. This year, you start the DOE process by completing the attached Faculty Activity Profile (in some cases, the sponsored projects sections will have been completed already by your business officer). This information will be entered into the electronic Data base by a staff person. When the percentages of effort have been agreed upon, an official DOE form can be printed from the Data base. This is the form that will be signed by you, your Department Chair, and your Dean.

In the future, when the time comes to complete your DOE, your business officer will give you a Faculty Activity Profile that contains the previous year’s information. All you will need to do is modify any numbers that need to be changed for the coming year. All that the business officer will need to do is enter the changed numbers in the data base, and print out the official DOE form. The savings in time and effort should be significant.

I hope you will consider the increased effort you will make this year to be worthwhile, both in terms of meeting accountability requirements, and in terms of increasing the efficiency of the DOE process in future years. If you have any questions or comments, please contact me at 257-1642.

Terry Turner, Director of Planning, Assessment and Effectiveness

1995
# DOE Accounting Worksheet

Name: ________________________________  Assignment Period: ________________________________

<table>
<thead>
<tr>
<th>Sponsored Effort</th>
<th>Payroll Distribution</th>
<th>Non-Sponsored Effort</th>
<th>Total Sponsored:</th>
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<tbody>
<tr>
<td>Account #</td>
<td>Description</td>
<td>Effect. Dates Beg/End</td>
<td>% Total</td>
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<th>Non-Sponsored Effort</th>
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<th>Total Non-Sponsored:</th>
<th>Grand Total:</th>
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Faculty Activity Profile  
Chandler Medical Center, University of Kentucky

Name _______________________________________ Assignment Period from _______ to _______

THE WORKING YEAR

a. How many weeks will you be working in the year? _______ weeks
b. How many hours per week on average do you anticipate working in those weeks? _______ hours per week
c. How many hours will you work in the year? (multiply "a" by "b") _______ hours in year
d. If you have a VA appointment, how many VA "eighths" will you have? _______

I. INSTRUCTION AND EDUCATION

Non-Sponsored Instruction and Education

a. How much effort will you spend in general academic instruction?

<table>
<thead>
<tr>
<th>Course Prefix</th>
<th>Course Number</th>
<th>Title</th>
<th># of formally scheduled contact hours with students</th>
<th># of other instructional contact hours with students</th>
<th># of hours preparation and grading, etc.</th>
<th>% of effort due to contact hours</th>
<th>% of effort due to preparation and grading, etc.</th>
<th>Total % of effort</th>
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</table>

b. How much effort will you spend in instructional supervision and academic advising?

1. Not directly related to patient care:
   - Undergraduates, lower division (freshmen and sophomores)
   - Undergraduates, upper division (juniors and seniors)
   - First professional degree students, i.e., Medical, Dental, and Pharm.D. students
   - Masters students, e.g., thesis and research supervision
   - Doctoral students, e.g., dissertation and research supervision
   - Post doctoral students and fellows
   - Interns, residents and other postgraduate clinicians

2. Directly related to patient care:
   - Students, e.g., medical, dental, nursing, etc. (copy % from section III, question a2.)
   - Interns, residents, and other postgraduate clinicians (copy % from section III, question a2.)

What percent of effort will you spend:

c. Doing course and curriculum development? _______ % of Effort

d. Preparing and giving instruction in Continuing Education Programs? _______ % of Effort
e. Doing other instructional activities? Describe ________________________________________________________________________ _______ % of Effort

Sponsored Instruction and Education

f. Preparing and giving sponsored instruction? _______ % of Effort

TOTAL EFFORT ON INSTRUCTION AND EDUCATION (Sum of percentages in "a" through "f.") _______ % of Effort
## II. RESEARCH, SCHOLARSHIP AND OTHER CREATIVE ACTIVITIES

### Non-Sponsored Research, Scholarship and Creative Activities

a. What percent of effort will you spend on internally funded projects, e.g., funded by a department?
   - Describe _____________________________ _____ % of Effort
   - Describe _____________________________ _____ % of Effort

b. What percent of effort will you spend on other non-sponsored projects?
   - Describe _____________________________ _____ % of Effort
   - Describe _____________________________ _____ % of Effort

### Sponsored Research, Scholarship and Creative Activities

c. What percent of effort will you spend on sponsored projects?
   - Describe _____________________________ _____ % of Effort
   - Describe _____________________________ _____ % of Effort
   - Describe _____________________________ _____ % of Effort
   - Describe _____________________________ _____ % of Effort
   - Describe _____________________________ _____ % of Effort
   - Describe _____________________________ _____ % of Effort
   - Describe _____________________________ _____ % of Effort

### TOTAL EFFORT ON RESEARCH, SCHOLARSHIP AND OTHER CREATIVE ACTIVITIES

(Sum of percentages in “a” through “c”.) ______% of Effort

## III. SERVICE

### Non-Sponsored Service

a. What percent of effort will you spend in providing the following patient care and clinical service?
   - Direct patient care and clinical service _______ % of Effort
   - Supervising, advising, or instructing students (______ % of effort. Copy to Section I, question b:2)
   - Precepting interns, residents and other post-graduate clinicians (______ % of effort. Copy to I:b:2)
   - Undertaking quality assurance activities _______ % of Effort
   - Providing other clinical services _______ % of Effort

b. What percent of effort will you spend providing service to your profession?
   - Describe _____________________________ _____ % of Effort

### Sponsored Service

e. What percent of effort will you spend providing sponsored service? _______ % of Effort

### TOTAL EFFORT ON SERVICE

(Sum of percentages in “a” through “e”). ______% of Effort

(Do not include parts “2” and “3” of question “a” in the total.)

## IV. ADMINISTRATION AND PROFESSIONAL DEVELOPMENT

### Non-Sponsored Administration and Professional Development

What percent of effort will you spend on:

a. Administration at UK?
   - Describe _____________________________ _____ % of Effort

b. Administration at a hospital, e.g., UK or Shriners?
   - Describe _____________________________ _____ % of Effort

c. Professional development leave, e.g., a sabbatical?
   - Describe _____________________________ _____ % of Effort

d. Other professional development?
   - Describe _____________________________ _____ % of Effort

### Sponsored Administration and Professional Development

What percent of effort will you spend on:

e. Sponsored administration? _______ % of Effort

f. Sponsored professional development? _______ % of Effort

### TOTAL EFFORT ON ADMINISTRATION AND PROFESSIONAL DEVELOPMENT

(Sum of percentages “a” through “f”). ______% of Effort

Total for all four sections 100% of effort
Instructions for the Faculty Activity Profile

Below are instructions for completing the Faculty Activity Profile, which is used to create your official DOE form. All percentages of effort can be taken to the second decimal place (e.g., 50.25%), if necessary.

I. INSTRUCTION AND EDUCATION

Non-Sponsored Instruction and Education
- Include instructional activities applicable toward a post-secondary degree or certificate in an academic program or field of study.
- The courses must be offered for credit through a regular educational unit.
- The instruction may be outside your primary department.

a. Only include instruction associated with a course.
- Include clinical clerkships.
- Include time for associated course committee work.
- Exclude instructional effort that primarily involves supervision, e.g., clinical and research supervision. (Reported in question “b”, below.)
- If the course does not have a number, leave the course prefix and number blank.

Contact Hours
- “Contact Hours” is the number of hours instructing, advising, or supervising students in the year, regardless of how many students are present at any time.
- The contact hours reported on the DOE for each course is the sum of the two “Contact Hours” numbers for the course.
- “Preparation and grading, etc.” refers to all effort associated with the course in the year, other than contact hours.

Calculations
- To calculate the “% of effort due to contact hours” column, divide the sum of the two contact hours by the total number of hours you will work in the year (question “c” in “The Working Year” section), then multiply by 100.
- To calculate the “% of effort due to preparation and grading,” divide the hours of preparation and grading by the total number of hours you will work in the year, then multiply by 100.
- “Total % of effort” is the sum of “% of effort due to contact hours” and the “% of effort due to preparation and grading.”

b. Include clinical supervision, e.g., of interns and other postgraduate clinicians.
- Include research supervision, e.g., of theses and dissertations in courses numbered 748, 768, 749, and 769, plus other research supervision.
- Include only those parts of your clinical or research effort that involve instructional supervision, i.e., where it incorporates preparation, grading, teaching, critiquing a dissertation, etc.
- Include thesis and dissertation committee membership.
- Include formal and informal guidance and academic advising.

- Student numbers should be reported on a headcount basis per year.
- All contact hours should be reported as the number of hours in the entire year.
- Do not duplicate effort reported in question “a” above.

Calculations
- The “Total % of effort” must be at least equal to the percentage formed when you divide the number of instructional contact hours by the total number of hours you will work in the year (question “c” in “The Working Year” section), then multiply by 100.
- Time for “preparation and grading, etc.”, if appropriate, should be included in “Total % of effort”, but it is not reported separately.

c. Include activities to improve, add to, or modify future instructional offerings.
- Include curriculum committee work.

d. Include instructional activities that are non-credit and are therefore not applicable toward a post-secondary degree or certificate.
- May be offered either on or off campus and may be taken by either matriculating students or members of the general community.
- Only include activities that result in the award of institutional or individual CEUs.
- Exclude overload assignments for which you receive additional compensation.

f. See the box on the next page for a definition of sponsored activities.

II. RESEARCH, SCHOLARSHIP AND OTHER CREATIVE ACTIVITIES

Non-Sponsored Research, Scholarship and Creative Activities
- Include activities that are not separately budgeted and accounted for.
- Include research funded from regular departmental accounts.
- This is also referred to as individual and departmental research.

Sponsored Research, Scholarship and Creative Activities
- See the box on the next page for a definition of sponsored activities.
- Include activities that are separately budgeted and accounted for, such as NIH grants, Tobacco and Health Research projects and Research Committee Awards.
- This is also referred to as organized research.
Non-Sponsored Service

- Involves providing service to others.
- Primary benefits should accrue not to you, but to others.
- Program may be of *incidental* benefit to you.

- Include services to inpatients and outpatients.
- The sum of parts 1, 4 and 5 is reported as *service* on the DOE in Section III: line "a".
- The percentages in "2" and "3" are reported as *instruction* on the DOE in Section I: line "b".
- The percentages in "2" and "3" should not be included in the "Total effort on service," because they refer to instruction.

- The primary benefit is to your professional organization or academic discipline, not to your own professional development.
- Include committee work.
- *Exclude* service to UK resulting from a formally assigned position, such as that of a vice chancellor, dean, associate dean, assistant dean, department chair, division head, or center director. (Reported in section IV, Administration.)

- For example, service on student admissions committees.
- *Exclude* curriculum and course committee work, which is reported in section I, Instruction.

- For example, service on the Institutional Review Board or a seminar committee.

- For example, service on a search committee or the senate council, attending faculty meetings, or completing this Activity Profile.

- Include only the service that is due to your professional expertise, e.g., consulting work.
- *Exclude* service due to your status as a community member, e.g., civic or religious service.
- *Exclude* community courses that result in the awarding of CEUs. (Some or all of these are reported in section I, Instruction, question “d”.)
- *Exclude* overload assignments for which you receive additional compensation.

- See the box on this page for a definition of sponsored activities.

Non-Sponsored Administration and Professional Development

- *Exclude* separately budgeted and accounted for activities.

- Include activities that provide administrative support and management direction to instruction, research, and service programs of the University.
- Include responsibilities associated with positions such as vice-chancellor, dean, associate dean, assistant dean, department chairperson, division head, or center director.
- Include administration at any level, e.g., division, department, college, UK-wide.
- *Exclude* activities related to committee work and accounted for under instruction, research or service.
- *Exclude* activities for elected positions such as Faculty Senate Chair.

- Supervision of a hospital program or hospital activities, e.g., participation in hospital budget preparation, rate increases, personnel policies, or technician supervision.

- Include activities for personal professional growth and development.
- For example, participation in professional organizations and conferences, and continuing education.

**Sponsored Administration and Professional Development**

- See the box below for a definition of sponsored activities.
- Include separately budgeted and accounted for activities.

**Definition of Sponsored Activities**

Include all separately budgeted and accounted for activities. Include activities sponsored by federal and non-federal agencies and organizations as well as activities separately budgeted by the institution through an internal allocation of institutional funds. **Include effort on a discrete separately budgeted project even if such effort is not charged to the project, e.g., mandatory, committed or voluntary cost sharing and matching.** (NOTE: To be considered as part of a discrete separately budgeted sponsored project, the activity should actually be a part of the effort originally contemplated when the project was described or proposed for funding, or the activity was unforeseen when the project was initiated but found to be necessary in the course of the project in order to meet project goals. Effort related in a general way to the project, but not an integral part of it and not charged to it or any other separately budgeted project, should be included under one of the non-sponsored activities.)
UNIVERSITY OF KENTUCKY
Faculty Benefits

<table>
<thead>
<tr>
<th>BENEFIT</th>
<th>UNIVERSITY OF KENTUCKY</th>
<th>VETERANS AFFAIRS</th>
<th>K.M.S.F.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical Insurance (VA faculty can join either UK or VA Plan)</td>
<td>a) Regular full-time employee • Regular half-time employee • Regular part-time employee with an assignment of .20 FTE or more • Temporary part-, half-, or full-time employee with an assignment of the following: - FTE of .20 or more - Six month assignment or more - Sufficient earnings to make necessary payments</td>
<td>a) U.S. Government pays a percentage of the cost of plan, pre-set by the OPM, Washington, DC Various • Medical Insurance Fee for Service Plans - Alliance - American Postal Workers Union - Blue Cross/Blue Shield - Government Employees Health Assoc. - Mail Handlers - National Assoc. of Letter Carriers - Postmasters</td>
<td>[\text{Effective October 16, 1998, Non-Physicians who are appointed after December 31, 1998, are no longer eligible for KMSF benefits.}]</td>
</tr>
<tr>
<td></td>
<td>b) UK provides the following credit per month for regular full-time employees (Premiums vary depending on insurance carrier) • Single -- $249 • Employee &amp; Child/children -- $297 • Employee &amp; spouse -- $330 • Family -- $365</td>
<td>b)</td>
<td>[\text{Staff contributes 1.45% of bi-weekly gross to Medicare. VA matches with 1.45% (verified).}]</td>
</tr>
<tr>
<td></td>
<td>c) Options: • UK HMO • UK Indemnity (Administered by Humana) • UK EPO (Administered by Humana) • UK PPO High (Administered by Humana) • UK PPO Low (Administered by Humana)</td>
<td>c)</td>
<td></td>
</tr>
</tbody>
</table>

Holidays

<table>
<thead>
<tr>
<th>12 DAYS:</th>
<th>10 DAYS:</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Year's Day; Martin Luther King Jr. Day; Memorial Day; Independence Day; Labor Day; Thanksgiving, Friday after Thanksgiving, Christmas; and 4 (Bonus Days) during December 25-</td>
<td>New Year's Day; Martin Luther King's Day; President's Day; Memorial Day; Independence Day; Labor Day; Veteran's Day; Columbus Day; Thanksgiving; Christmas</td>
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</tr>
<tr>
<td>January 1. Plus 1 day - U.S. Presidential Election Year</td>
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</tr>
<tr>
<td>BENEFIT</td>
<td>UNIVERSITY OF KENTUCKY</td>
<td>VETERANS AFFAIRS</td>
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<tr>
<td>---------</td>
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<tr>
<td><strong>LEAVES OF ABSENCE</strong></td>
<td></td>
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<tr>
<td><strong>Family Medical Leave</strong></td>
<td>a) Must be employed for 12 months</td>
<td></td>
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<td></td>
<td>b) 12 weeks of leave during 12-month period for qualified reasons.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>c) Specific requirements and procedures are listed in the Family and Medical Leave Policy, AR II-1.0-5, B.4.</td>
<td></td>
</tr>
<tr>
<td><strong>Miscellaneous Leave of Absence</strong></td>
<td>a) Requires Provost approval for up to one month with pay for special purposes.</td>
<td>a) LWOP - up to 30 days approved by Service Chief</td>
</tr>
<tr>
<td></td>
<td>Requires approval of the Board of Trustees for more than 30 days</td>
<td>b) LWOP in excess of 30 days approval of Director required NTE 1 calendar year</td>
</tr>
<tr>
<td><strong>Sabbatical Leave</strong></td>
<td>a) Faculty must be appointed in Regular or Special Title Series</td>
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<tr>
<td></td>
<td>b) Requires Presidential approval</td>
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<td></td>
<td>c) After three years of continuous eligible service, an appointee may apply for six months' leave at one-half salary.</td>
<td></td>
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<tr>
<td></td>
<td>d) After six years of continuous eligible service, an individual may apply for one year's leave at one-half salary or six months' leave with full salary.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>e) Privilege not a right.</td>
<td></td>
</tr>
<tr>
<td><strong>Temporary Disability Leave</strong></td>
<td>President of the University can authorize six months temporary disability leave</td>
<td>a) 15 days sick leave per year. (full time)</td>
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<tr>
<td></td>
<td></td>
<td>b) Accrual unlimited</td>
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<tr>
<td></td>
<td></td>
<td>c) 1 hour earned for every 20 hours worked (part-time)</td>
</tr>
<tr>
<td><strong>Long Term Disability</strong></td>
<td>a) The University provides long-term total disability income protection for regular full-time faculty after twelve full calendar months of employment. Coverage is automatic.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>b) This plan insures that employees who are approved for LTD receive a percentage of their salary as described in the following chart. Any income a disabled employee and/or dependent receives from any of the following sources: social security, workers’ compensation or other similar government programs, veterans or other governmental disability payments, or other employer sponsored disability benefits is used in the benefit calculation. The University will pay the percentage to be paid less any amounts received from the preceding sources. Months 1-6 = 100% of salary Months 7-18 = 90% of salary Months 19-30 = 80% of salary</td>
<td>b) Benefits: 60% of KMSF monthly gross salary to maximum of 10,000 of monthly benefit and 12,000 for KMSF plus VA.</td>
</tr>
<tr>
<td></td>
<td>c) <strong>Civil Service Retirement System</strong></td>
<td>c) Pension Supplement – 15% of Predisability earnings to TIAA/CREFF Retirement Plan</td>
</tr>
<tr>
<td></td>
<td>Individuals employed under the Civil Service Retirement System are eligible for Disability Retirement after 5 years of civilian service. Benefits are calculated and the individual receives the largest of the 40% of high-3 average pay or an annuity computed under the general formula (years of service X high-3 salary).</td>
<td>d) No Offsets for Social Security</td>
</tr>
<tr>
<td></td>
<td>6 months waiting period.</td>
<td>e) Own Specialty specific, or unable to own specialty specific, or unable to earn 80% of KMSF salary.</td>
</tr>
<tr>
<td></td>
<td><strong>Federal Employees Retirement System</strong></td>
<td>f) Six-month waiting period.</td>
</tr>
<tr>
<td></td>
<td>Individuals become eligible after 18 months of civilian service. Benefits</td>
<td></td>
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</tbody>
</table>

*Cost of Living adjustments not provided by either UK, or KMSF Policy
<table>
<thead>
<tr>
<th>BENEFIT</th>
<th>UNIVERSITY OF KENTUCKY</th>
<th>VETERANS AFFAIRS</th>
<th>K.M.S.F.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Months 31-42 = 70% of salary</td>
<td>are calculated for the 1st year of disability at 60% of high-3 average pay minus (-) 100% of Social Security Disability Benefit. 2nd year and following until 62, 40% of high 3 average pay minus (-) 60% of Social Security Disability Benefit. At age 62 re-computed using general formula</td>
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<tr>
<td>Months 43-End of Benefit = 60% of salary</td>
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</tbody>
</table>

**Medical Malpractice Insurance**

<table>
<thead>
<tr>
<th>Self Insured, K.R.S. 164.939</th>
<th>Federal Government Insures</th>
<th>UK is self insured of which K.M.S.F. contributes 56%</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1 Million per occurrence</td>
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<tr>
<td>$3 Million annual aggregate</td>
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</tbody>
</table>

**Miscellaneous**

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<thead>
<tr>
<th>a)</th>
<th>Medical Malpractice Insurance</th>
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<tbody>
<tr>
<td>b)</td>
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<td>c)</td>
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<td>i)</td>
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<td>j)</td>
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</tbody>
</table>

**Retirement Plan**

<table>
<thead>
<tr>
<th>Retirement Plan</th>
<th>FERS – Employed on or after 12/31/83</th>
<th>Individual contribution: 5% to TIAA/CREF, Fidelity Investments or American Century.</th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>Mandatory upon full time employment and attainment of age 30. (This would apply to employees hire on or after December 11, 2001. Employees hired prior to this date may choose to wait until their one year anniversary before joining the retirement plan.)</td>
<td></td>
</tr>
<tr>
<td>b)</td>
<td></td>
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<tr>
<td>c)</td>
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<td>j)</td>
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</table>

**Voluntary contributions may be made over and above the basic amount.**
<table>
<thead>
<tr>
<th>BENEFIT</th>
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<th>VETERANS AFFAIRS</th>
<th>K.M.S.F.</th>
</tr>
</thead>
<tbody>
<tr>
<td>f)</td>
<td>These tax-deferred contributions may be made to a 403(b) and/or a 457(b) retirement plan. Also, some employees not eligible to participate in the basic plan may make contributions to the voluntary account on a pre-tax basis. For information regarding the maximum contribution, email Employee Benefits office <a href="mailto:benefits@email.uky.edu">benefits@email.uky.edu</a> Faculty who were 40 years of age and employed prior to July 1, 1964 may have rights under the unfunded Retirement Plan.</td>
<td>b) 12/31/83 Staff contributes 7.0% of bi-weekly gross to Civil Service Retirement. CSRS benefit is 1.5% - 2.0% of high-three salary multiplied by number of years of service. Eligibility for Retirement Age: 55 60 62 Years Svc.: 30 20 5</td>
<td></td>
</tr>
</tbody>
</table>
POLICIES FOR FACULTY PERFORMANCE REVIEW

AR II-1.0-5
12/16/00

The following University policies are to be applied in the conduct of faculty performance reviews:

A. The performance of tenured faculty will be reviewed annually or, at the discretion of the dean or president of the college, during the first year of each biennium with the rating applying for the biennium. Any tenured faculty member, upon request, shall be granted an annual review.

The performance of non-tenured faculty will be reviewed annually. Special attention will be given to the evaluation of persons in their first year of employment to maximize effective guidance.

In the University System, the Department/Division Chair will review each faculty member and recommend an evaluation rating to the dean/community college president of the college to which the department/division is assigned. The performance of each faculty member appointed in the extension title series will be reviewed by the chairperson of the department to which the individual is assigned and the dean of the college in which the individual's position is funded, using the evaluation instrument and appeal process of the college in which the individual's position is funded. For a faculty member with a joint appointment, where the secondary appointment comprises no more than twenty percent of the faculty member’s effort, the chair of the department/division in which the faculty member has a primary appointment will evaluate the performance of the faculty member, with input from the chair of the department/division in which the individual has a secondary appointment. If the secondary appointment comprises more than twenty percent of the faculty member’s effort, the faculty member will be evaluated by the department/division chairs in the primary department and the secondary department.

In a Graduate Center, the Center Director will review each faculty member assigned to the center and recommend an evaluation rating to the Dean of the Graduate School. A faculty member who has a joint appointment, where the secondary appointment in a center or institute comprises no more than twenty percent of the faculty member’s effort, will be reviewed by the chair of the department in which the individual has a primary appointment, with input from the director of the respective center or institute. If the secondary appointment in a center or institute comprises more than twenty percent of the faculty member’s effort, then the individual will be evaluated in both the primary department and the center or institute.

The performance of faculty on assignment in international programs or in other out-of-state programs shall be evaluated on the basis of their performances and accomplishments in their assigned areas of activity (refer to Section A of AR II-1.1-8).

Exceptions to these performance review policies will apply in cases of (1) tenured faculty who will retire before or at the end of the current fiscal year, and (2) non-tenured faculty whose appointments will not be renewed.

1. A primary purpose of the performance review is individual and institutional self-improvement. To help in achieving this purpose, the performance review will determine for each faculty member both a quantitative assessment and a qualitative judgment of the faculty member's activities during the review period in teaching and advising, research and scholarship, University and public service, and other appropriate activities with relative weightings based on a prior agreement pertinent to the distribution of effort among any or all of these activities.
2. To serve this purpose, inputs from students, colleagues, and administrators are to be used. Teaching, advising, research, and service assignments must be evaluated in annual and biennial reviews and in appointment, retention, promotion, and tenure. The results of these evaluations shall be considered in the decisions concerning retention, promotion, and merit ratings of each faculty member.

The assessment of teaching shall include the results of student appraisals for at least one semester per year, peer faculty appraisals based upon review of course syllabi, course materials, text, learning exercises, exams and in class presentation where applicable, and also other relevant information. 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. 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.

3. Evaluation of Collaborative Efforts: The products of collaborative and multidisciplinary efforts in teaching, research, and service shall be evaluated. The faculty member shall document the contribution he/she has made to the collective project. The appraisal of the faculty member's effectiveness as part of the collaborative or multidisciplinary effort should include evaluation statements by the other members of the team.

4. The quantitative data are to be provided at least once annually by the faculty member to the department or division chairperson through an instrument approved by the appropriate chancellor or vice president.

5. These data are to be supplemented by other inputs of the educational unit as pertinent.

B. Reviews are to be based upon the distribution of effort performed by the faculty member.

1. In any case for which an agreement on the distribution of effort has not been developed previously, the distribution of effort depicted by other approved instrument for the current year will be used.

2. During the spring semester of each year, the administrator of each educational unit (e.g., department, division, school, community college, or college organized as whole) with advice from the faculty of the unit will develop an overall distribution of faculty time for approval by the dean or president of the college or next administrative officer. In any case of disagreement that is not readily resolved, the decision of the dean or president of the college or next administrative officer will be final.

3. A written agreement is to be developed annually between the unit administrator and the faculty member on the distribution of effort expected of the faculty member in major activities during the succeeding year. For any faculty member who is or will be associated with a multidisciplinary research center or institute, the agreement shall be consistent with the conditions of establishment of the faculty position and signed by the faculty member, director of the research center or institute, the department chairperson, and the dean. In case of lack of agreement on the distribution of effort, the next higher level of University administration will become involved in resolving any issues. In case of a significant change in the faculty member's distribution of activities during the review period, an appropriately revised agreement is to be negotiated. An
individual who is hired with the prospect of becoming a tenured faculty member shall be assigned duties by the unit commensurate with making due progress toward meeting requirements for tenure. The annual performance review of each non-tenured faculty member shall include some discussion with the unit administrator of the individual's progress toward consideration for tenure in terms of the unit's expectations.

4. The unit administrator shall consult with the tenured members of the faculty regarding the progress of each non-tenured faculty member toward consideration for tenure in terms of the unit's expectations. Consultation about a non-tenured faculty member who has been or is on assignment in an international program or in some other out-of-state program shall include, if the individual is eligible to be considered for tenure, evaluations of the individual's performance and accomplishments in assigned areas of activities in such programs (refer to Sections A and D of AR II-1.1-8). For each non-tenured faculty member who is associated with any multidisciplinary research centers or institutes, the unit administrator also shall consult with the directors of the pertinent centers or institutes. These discussions should occur at the end of the non-tenured faculty member's second and fourth years, but may occur more frequently at the administrator's discretion. The results of these discussions should be communicated to the individual non-tenured faculty member and a record maintained in the faculty member's file.

C. Rankings or ratings are to be used.

1. At least three evaluative groupings are to be used, whether letter, numerical, or descriptive designations.

2. The rankings are to be designed to recognize both outstanding and unsatisfactory performances as well as those appraised as degrees of good or satisfactory. Each academic unit must develop a clear set of expectations for satisfactory performance linked to the distribution of effort agreement.

D. An appeals process is to be developed for both the college and the academic sector (Medical Center, Lexington Campus, Community College System, Research and Graduate Studies, or Information Systems) levels.

1. On the sector level, under certain conditions and after being considered in the college, appeals can be addressed to the appropriate chancellor or vice president.

2. An appeal emanating from a college shall be considered by a committee appointed by the chancellor or vice president; after a hearing, the committee will make a recommendation to the chancellor or vice president whose decision shall be final.

E. The responsibility for developing the procedures by which the policies for faculty performance review are to be implemented in each academic sector of the University is centered in the office of the chancellor or vice president for that academic sector.

1. The colleges are the focal points to which the review procedures are delegated.

2. The dean or president of each college is responsible for the exercise of the procedures.
MEMORANDUM

TO: Deans
FROM: Michael T. Nietzel
Acting Provost
SUBJECT: Information Concerning New Faculty
DATE: July 30, 2002

As we approach the beginning of a new academic year, it is important that new faculty be given a thorough orientation to the University’s rules and regulations. Please assure that the following information is provided to all new faculty at the University:

Information for Prospective and New Faculty Members

1. Either before or at the time of interview of an individual for an appointment in the professorial series, the unit administrator shall inform the individual about the parts of the Governing Regulations and the Administrative Regulations dealing with appointment, promotion and tenure and shall provide access to these regulations as requested.

2. At the time an appointment is tendered, an individual should be informed in general terms regarding criteria for academic ranks by the unit administrator. (AR II-1.0-1).

3. The unit administrator shall inform each new faculty member (within one month of the beginning of his/her 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 of his/her college; (e) the rules and regulations of his/her department or division; and (f) the Student Rights and Responsibilities. Access to any of these documents shall be provided by the unit administrator as requested.

Faculty Files

Considerations of promotion and tenure require thorough documentation of the faculty member’s record of pertinent activities in the University as well as the relevant actions involving the individual’s faculty status. Therefore, standard personnel files shall be maintained for each faculty member in any title series. See AR II-1.0-1 part II section G for the contents of the standard personnel file. The file must be kept updated, jointly by the unit administrator and the individual faculty member. This file shall be available on request to the faculty member.

cc: Lee T. Todd, Jr.
   James Holsinger
   Jack Blanton
   James Boling

An Equal Opportunity University
November 2, 1992

MEMORANDUM

TO: All Faculty
FROM: Phyllis P. Nash, Ed.D.
       Associate Vice President for Academic and Student Affairs
RE: Teaching Portfolio

The request of area committees for better documentation of faculty’s instructional effort led the University Senate, composed of faculty representatives, to consider the use of the teaching portfolio to provide documentation of faculty’s instructional efforts. The use of teaching portfolios for promotion and tenure decisions and for merit evaluation was endorsed by the University Senate last spring and has now been accepted as part of the University’s Administrative Regulations.

Attached you will find a copy of the Administrative Regulation regarding the Teaching Portfolio, a set of guidelines which are designed to assist you in developing your portfolio, a set of questions that you can use to develop your reflective statement, and a brochure answering questions about the Teaching Portfolio. **The guidelines are suggestions, not mandates, and your department or college may have specific recommendations about developing portfolios.** The chair of your Department is responsible for helping you develop your Teaching Portfolio. Please ask for help if you are unclear about developing your portfolio.

If you would like more information, please do not hesitate to call me at 323-5920.
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.
Preparing Your Reflective Statement
Teaching Portfolio

Directions: The purpose of the questions that follow is to help you develop the reflective statement for your teaching portfolio. Where appropriate, provide descriptive examples.

Your Name: ________________________________________________ Date: ______________________

Department/College/University: ____________________________________________________________

1. What are your teaching responsibilities (classroom, laboratory, clinic, bedside)? What do you teach?

2. How do you teach? How would you describe your teaching style? Your teaching methods? What is the value to students of your teaching style?

3. Describe major projects, assignments, clinical experiences, or other activities used to support or help students learn. In what way did these activities foster student learning?

4. Provide specific examples of how you motivate your students to learn.

5. How would students describe you to other students? What would you like them to say?

6. How would students describe your availability to them? How do you let students know of your availability?

7. How do you maintain a current knowledge base in your discipline and change your courses to reflect that knowledge? How do you use your research or clinical practice to inform your teaching?

8. How do you assess your instructional efforts? Describe the information you collected and how the information influences your teaching.

9. Describe activities you have engaged in to enhance your teaching effectiveness.
   a. Workshops, conferences, or presentations attended related to teaching. For each activity, indicate who conducted it, the topic, and how it influences your teaching.
   b. What reading have you done to enhance your teaching?

10. What are your future instructional goals or plans for enhancing your instructional activities?

Adapted from Seldin, 1991
XII. Academic Area Advisory Committees

A. Purpose

Academic Area Advisory Committees are established for the purpose of providing the Provost, Provost, and the President with a systematic and broad base of advice from faculty 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. Librarian Series

C. Composition of Academic Area Advisory Committees

The membership of each Academic Area Advisory Committee shall consist of no fewer than five members. The Medical Center Clinical Sciences Academic Area Advisory Committee shall consist of nine members, three of whom shall be from the College of Medicine, two from the College of Dentistry, and one each from the Colleges of Health Sciences, Nursing, and Pharmacy and the Department of Veterinary Science. In addition, each Area Committee shall have one alternate who, with the exception described in the next paragraph, shall be entitled to participate as a voting member at meetings when any regular member is absent and to attend any other meetings of the Area Committee as a non-participating observer. Members and alternates are 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 and alternates shall be full professors who shall serve staggered two-year terms. The President shall designate the chairperson of each committee.

A member or an alternate of an Area Committee, however, shall be excluded from any participation in that Area Committee's consideration of a recommendation if the affected individual and the Area Committee member or alternate are assigned to the same educational unit.

D. Selection of Members and Alternates of Academic Area Advisory Committees

The members and alternate of an Area Committee should have a representation as broad as possible from the educational units which the Area Committee serves. No department shall be represented by more than one person. Appointments as members and alternates on Area
Committees shall be rotated among educational units so that over a period of years all educational units shall be represented. Any Area Committee may recommend that the Provost or the Provost appoint ad hoc committees to handle cases requiring additional 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 any ad hoc committees in preparing their recommendations to the Provost or the Provost.

E. List of Educational Units Assigned to the Academic Area Advisory Committees

A proposal to appoint, promote, and/or grant tenure requiring an evaluation and a recommendation from an Academic Area Advisory Committee normally shall be referred to the Area Committee associated with the concerned individual’s educational unit as listed below. In a few appropriate cases, however, with prior agreement between the individual and the Provost or the Provost, an evaluation and a recommendation may be obtained from an Area Committee other than the one normally associated with the educational unit to which the individual is assigned.

The President may exempt faculty of any educational unit in the University System from evaluation by an Area Committee when the standards of an accrediting agency make this desirable or when such an exemption appears to be in the best interests of the University.

**Biological Sciences**

Agronomy  
Anatomy and Neurobiology  
Animal Sciences  
Anthropology (biological phase)  
Biochemistry  
Biological Sciences  
Biomedical Engineering  
Dentistry (Oral Biology)  
Entomology  
Forestry  
Kinesiology and Health Promotion (biological phase)  
Gerontology  
Horticulture  
Microbiology and Immunology  
Nutrition and Food Science (biological phase)  
Nutritional Sciences  
Pharmacology  
Pharmacy (Pharmaceutical Sciences)  
Physiology and Biophysics  
Plant Pathology  
Psychology (biological phase)  
Toxicology
Humanities and Arts

Architecture (art phase)
Art
Classical Languages and Literatures
Communications and Information Studies
English
French Language and Literature
Germanic Languages and Literatures
History
Human Environmental Sciences (art and design phase)
Honors
Journalism and Telecommunications
Landscape Architecture
Music
Philosophy
Russian and Eastern Studies
Spanish and Italian Languages and Literatures
Theatre

Medical Center Clinical Sciences

Allied Health Professions
Dentistry (except Oral Biology)
Medicine
Nursing
Pharmacy (Pharmaceutical Practice)
Veterinary Science

Physical and Engineering Sciences

Agricultural Engineering
Architecture (mechanical phase)
Biomedical Engineering
Chemical Engineering
Chemistry
Civil Engineering
Computer Science
Electrical Engineering
Engineering Mechanics
Geological Sciences
Mathematics
Mechanical Engineering
Materials Science and Engineering
Mining Engineering
Physics and Astronomy
Statistics
Social Sciences

Accountancy
Administration and Supervision
Agricultural Economics
Anthropology (social phase)
Behavioral Science (social phase)
Communication
Curriculum and Instruction
Diplomacy and International Commerce
Economics
Educational and Counseling Psychology
Educational Policy Studies and Evaluation
Geography
Kinesiology and Health Promotion (social phase)
Higher Education
Human Environmental Sciences (business and behavioral science phases)
Management (Decision Science and Information Systems, Finance, Marketing)
Political Science
Psychology (social phase)
Public Administration
Rehabilitation Counseling
Rural Sociology
Social and Philosophical Studies in Education
Social Work
Sociology
Special Education
Vocational Education

Extension Title Series

Librarian Series

Medical Center Library System
University Library System