SCHOOL OF LIBRARY AND INFORMATION SCIENCE
OPERATING RULES AND PROCEDURES OF THE FACULTY

REVISED
October 7, 1994

SCHOOL OF LIBRARY AND INFORMATION SCIENCE
COLLEGE OF COMMUNICATIONS AND INFORMATION STUDIES
UNIVERSITY OF KENTUCKY
LEXINGTON, KENTUCKY

1
INTRODUCTION

With the merger of the College of Library and Information Science, and the College of Communications (effective July 1993) the operating rules and procedures are hereby revised to reflect changes in the organizational structure and procedures resulting from the merger. The newly formed College of Communications and Information Studies consists of a Department of Communication, a School of Journalism and Telecommunications, and a School of Library and Information Science.

The purpose of these Operating Rules and Procedures, as established by the faculty of the School of Library and Information Science, is to promote the effective and efficient operation of the school. These Rules of Procedure are intended to be consistent with the Governing Regulations and the Administrative Regulations of the University of Kentucky and the laws of the Commonwealth of Kentucky and of the United States of America. In the event that these rules of procedure are inconsistent or contrary to the above-mentioned regulations and laws, then those regulations and laws control.

ADMINISTRATIVE ORGANIZATION

The administrative organization of the School of Library and Information Science is determined by its administrative needs, and the teaching, research, and service functions of the school. Each administrative staff is responsible to the director, directly or through his/her superior, for the effective operation of the organizational unit or functions for which he/she is responsible. The administrative organization of the school is established by the director, with the advice of the School Council, and the approval of the dean of the college, the chancellor of the Lexington Campus, or the president of the university.

1. DIRECTOR OF THE SCHOOL OF LIBRARY AND INFORMATION SCIENCE.

The director serves as the executive officer of the school. It is the director's responsibility to see that the Governing Regulations, the Administrative Regulations, the Rules of the University Senate, other adopted rules and procedures of the university, and the rules and procedures of the school and college faculty are enforced. The director is the chair of the school faculty and an ex officio member of all school committees, but does not participate in the deliberations of the promotion and tenure committee. The director is charged with overseeing the educational

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Director  Dean  Chancellor
work of the school, and its efficient conduct and management in all matters not specifically charged elsewhere. The director is responsible for the curricula of the school, for the quality of instruction given therein, for the assignment of duties to all personnel, and for the services provided by the faculty of the school, individually and as a whole. The director is responsible for recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, promotions, and granting of tenure for members of the school or for ultimate action thereon when such authority has been delegated to the director by the dean, the chancellor of the Lexington Campus or by the president. The director submits the budget request for the school and administers the budget when it is approved.

The budget request shall be based on established practice, as informed and modified by faculty advice; input from faculty shall be solicited at School Council meetings and also as received through explicit requests for equipment, supplies, travel support, course staffing and other expressed needs of the faculty.

The term of a director's appointment shall be four years and ordinarily an individual will be asked to serve as director for only one term (Gov Regs, VIII-3).

The director shall speak for the school. In the event that the director believes it necessary to depart from recommendations of the school faculty, he/she shall communicate the faculty's recommendation as well as his/her recommendation, and notify the faculty of such action.

Because the School of Library and Information Science consists of a single academic unit, the director of the school assumes the responsibilities of both the school director and department chair as detailed in the Governing Regulations and Administrative Regulations of the University of Kentucky.

2. ASSISTANT DIRECTOR.

The assistant director of the school works closely with the Director of Graduate Studies as regards student related matters. He/she has direct responsibility for the administration of the educational requirements of the school, and verification and certification to The Graduate School, Registrar and college, of the satisfactory completion of these requirements for entering and graduating students. He/she is responsible for administering the academic rules and regulations of the school, college and the university as they apply to students, and he/she shall devise, and be responsible for, a system of student records as is necessary in order to discharge these responsibilities.

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Director      Dean                Chancellor
He/she is responsible for establishing and maintaining an effective advising system for the students of the school. He/she shall be in charge of all registration functions of the school within the bounds of the current procedures of the university. He/she shall establish and maintain communication with, and as charged by the DGS provide for the school liaison with The Graduate School and the Placement Office. He/she shall be an ex officio member of the Admissions Committee and the Executive Committee of the school.

The assistant director serves as the secretary of the School Council.

3. **DIRECTOR OF GRADUATE STUDIES.**

   The director serves as the school's Director of Graduate Studies (DGS). The DGS reports to The Dean of the Graduate School, or his/her delegate, on matters relating to graduate education, and is responsible to the Dean of The Graduate School for the administration of the graduate program of the school.

4. **THE FACULTY.**

   The faculty of the school consists of the dean of the college, the director of the school, and the members of the faculty of the college who have been assigned duties in the school (Gov Regs, VII-5). Membership on the councils and committees of the school, with or without voting privileges, may be extended by the school faculty to any other person assigned to it for administrative work, teaching, or research. Membership on the school councils and committees will normally be extended to non-faculty in the school by a vote of the faculty at the first meeting of each academic year, following a nomination from the floor for that purpose."

   As of May 1, 1993, voting privileges are extended to professors emeriti, the assistant director, the coordinator of computer services, and the two student representatives (president, and vice president of LISSO or their appointees).

   Within the limits established by the regulations of the Board of Trustees, the policies and rules of the University Senate, and the policies and rules of the faculty of the college of which it is a unit, the faculty of a school shall determine the education policies of the school. Student input in developing educational policies is obtained through student membership on the School Council and the Curriculum

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Committee. The faculty of the school shall be responsible for functions and duties assigned to it by the faculty of the college. For these purposes, it shall establish its own rules and determine its own committee structure. After approval of these rules by the dean of the college and the chancellor, copies of the rules and a description of its committee structure shall be made available to its members and a copy filed with the college of which it is a unit.

Because the School of Library and Information Science consists of a single academic unit, the faculty shall assume the responsibilities of both school and departmental faculties as detailed in the 'Governing Regulations' and 'Administrative Regulations' of the University of Kentucky-

All faculty member of the School of Library and Information Science are voting members of the College Assembly of the College of Communications and Information Studies. Each year two school faculty members will be elected by the school to serve on the Faculty Council of the College of Communications and Information Studies. The Faculty Council is the one standing committee of the College Assembly and serves as its executive committee. It is chaired by the dean of the college and consists of two elected faculty representatives from each of the three academic units of the college. The director of the school is not eligible for election to the Faculty Council of the college. School faculty may also serve, as necessary, on ad hoc committees of the College of Communication and Information Studies.

5. **COUNCIL STRUCTURE OF THE SCHOOL.**

   It is the intent of the faculty of the school that the organizational structure adopted by the school encourages broad-based participation on the part of all elements of the school in policy-making and decision-making.

   In creating an organizational structure for the school, primary emphasis has been given to establishing a system which will best meet the needs of a relatively small academic unit. Essentially, two policy-making groups exist within the school-the faculty and the administration of the school. Although no clearly defined demarcation exists between these two groups, except as set down in the university regulations, the faculty is responsible for determining the educational content of the curriculum and methods of instruction. The director, as the executive officer of the school, has administrative responsibility for ensuring that the Governing Regulations

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of the Board of Trustees, the Administrative Regulations, Rules of the University Senate, rules and policies of The Graduate School, and those of the college and school faculty are enforced.

The organizational structure of the School of Library and Information Science includes the following council and committees: (1) School Council; (2) Admissions Committee; (3) Curriculum Committee; (4) Executive Committee; (5) Promotion and Tenure Committee; (6) Search Committee; (7) Planning Committee; and, ad hoc committees as needed. The Curriculum Committee serves in an advisory capacity to the School Council with regard to academic degree requirements, courses of study, class schedules, subject matter and methods of instruction, graduate and research programs, extension programs, independent study and such other matters that arise with respect to the development of the educational program of the school; the Admissions Committee implements school policies as regards admissions decisions and student petitions; the Executive Committee advises the director on administrative matters; the Promotion and Tenure Committee concerns itself with issues related to promotion and tenure of school faculty; the Search Committee is concerned with the identification, recruitment and selection of new faculty members; and, the Planning Committee focuses on planning and assessments functions within the school.

The School Council is authorized to establish standing or ad hoc committees which would aid it in the performance of its specified functions. In addition, the School Council delegates to the Admissions Committee and the Curriculum Committee the authority to make decisions relative to the interpretation and implementation of existing policy and regulations. If objections to the actions of any school committees are voiced by any member of the School Council within ten days following the publication of the action, the decision shall be referred to the School Council for consideration.

Membership and voting privileges are specified with regard to the School Council and committees of the school. Except when executive sessions are called to discuss sensitive personnel matters, meetings are open to anyone interested in the work of the council or committees.

All meetings of the School Council and individual committees of the school must be announced, indicating the agenda, and the time and place of the meeting, and minutes of meetings must be circulated to the members of the School Council.

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Director        Dean        Chancellor
1. SCHOOL COUNCIL

a. **FUNCTION:** The School Council serves as the policy-making and decision making body of the school with regard to all functions for which the faculty has primary responsibility, including internal policies and procedures of the faculty, academic requirements, courses of study, class schedules, graduate and research programs and services activities of the school.

b. **MEMBERSHIP:** All full- or part-time faculty members, professors emeriti, the administrative assistant, the assistant director, the coordinator of computer services and two student representatives.

c. **VOTING:** Voting privileges are extended by the full-time faculty to professors emeriti, the assistant director, the coordinator of computer services, and the student representatives (president or vice president of LISSO or their designates).

d. **MEETINGS:** Eight regular meetings shall be scheduled during August, September, October, November, January, February, March and April. The August meeting shall be devoted to a general orientation; establishment of a tentative agenda for the council; and the determination of the membership of the Committees, and the standing and/or ad hoc committees of the faculty for the coming year. Other meetings shall be devoted to the consideration of matters relating to the functions for which the faculty have primary responsibility. Matters submitted for the consideration of the School Council shall be acted upon within 30 days from receipt of request for action. The School Council may delegate the authority to take action on specific issues to committees.

Special meetings may be called by the director of the school, or upon receipt of a request signed by at least three voting members of the School Council.

The director shall preside at meetings of the School Council and shall be responsible for posting notices of meetings, including agenda, to all members of the School Council and the general public. In the absence of the director, these responsibilities shall be assumed by the senior member of the school faculty, who shall serve as vice chairman of the School Council.

Issues are decided by voice vote or by show of hands, except that upon the request of any voting member of the Council, a secret ballot shall be used. Issues

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coming before the School Council shall be circulated to the members at approximately (10) working days prior to the meeting of the Council at which the issues are to be considered. To change existing policy, or to make effective new policies, a simple majority vote of those present shall be required.

e. **QUORUM:** The presence of more than 60 percent of the voting members of the School Council, exclusive of the professors emeriti, constitutes a quorum.

f. **MINUTES:** The secretary of the Council shall record the minutes of each meeting of the Council and distribute and post those minutes within ten (10) working days following the meeting. The Assistant Director shall normally serve as Secretary to the School Council. In the event that the Assistant Director is unable to perform this function, a substitute shall be elected by a voice vote of those present at the School Council meeting.

2. **CURRICULUM COMMITTEE**

a. **FUNCTION:** The Curriculum Committee serves in an advisory capacity to the School Council with regard to all educational matters for which the faculty has primary responsibility. The Committee analyzes and evaluates educational matters on a continuing basis; receives and/or initiates proposed changes in the curriculum; evaluates proposals; and makes formal recommendations concerning the same to the School Council.

b. **MEMBERSHIP:** Three members of the faculty, two selected by the faculty and one appointed by the director; one student member; and the director, ex officio. The chair of the Curriculum Committee shall be a faculty member, elected by the members of the committee.

c. **TERM OF OFFICE:** The faculty members will be elected or appointed during the August meeting of the School Council and will serve for a period of one year (September through August).

d. **VOTING:** Voting privileges shall be extended to the faculty members and the student representative. A simple majority vote is needed for formal action of the committee.

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e. **MEETINGS:** Meetings of the Curriculum Committee shall be held as necessary during the academic year, or upon the request of the chair, the director or the School Council. Proposals originating from the administration, faculty and/or students which require action of the Curriculum Committee shall be formally submitted to the chair not less than ten (10) working days prior to the scheduled meeting of the Committee. An item of business shall be considered by the committee within 30 days of the chair's receipt of the request for action.

   Committee recommendations, along with supporting documentation (e.g., description of proposed new courses, etc.), shall be distributed to the members of the School Council not less than ten (10) working days prior to their consideration by the council. Proposed modifications of the curriculum which require approval of the University Senate (i.e., all but minor modifications as defined by the Rules of the Senate) shall be submitted to the School Council for action prior to the scheduled October or November meetings of the council.

f. **QUORUM:** The presence of three (3) voting members of the Curriculum Committee constitutes a quorum.

g. **MINUTES:** Minutes of the Curriculum Committee shall be distributed within one week of Committee meetings.

3. **ADMISSIONS COMMITTEE**

a. **FUNCTIONS:** The Admissions Committee has the following responsibilities:
   (1) It makes decisions regarding applications for admission, and (2) It considers and acts upon student petitions, and advises the Director of Graduate Studies on same.

   b. **MEMBERSHIP:** Three members of the faculty, two of whom are elected by members of the School Council and one appointed by the director; the assistant director and the Director of Graduate Studies are ex officio members of the Committee.

   c. **TERM OF OFFICE:** The faculty members shall be elected or appointed at the August meeting of the School Council and serve for a period of one year (September through August).

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d. **VOTING:** Voting privileges shall be extended to the faculty, the assistant director and the Director of Graduate Studies.

e. **QUORUM:** The presence of three members of the Committee constitute a quorum.

f. **MEETINGS:** As needed, generally on the call of the chair or the assistant director.

g. **MINUTES:** Minutes of the Admissions Committee are distributed when needed.

4. **EXECUTIVE COMMITTEE**

   a. **FUNCTION:** The Executive Committee has three basic responsibilities: (1) It serves as the representative of the faculty and students of the school and advises the director with regard to the administration of the school; (2) It serves to facilitate communication between the administration, faculty and students of the school; and (3) It initiates proposals and/or recommendations to school committees, the School Council or to the director regarding administrative issues and concerns of the faculty and students.

   b. **MEMBERSHIP:** Three members of the faculty, two of whom are elected by the School Council and one appointed by the director; the director and assistant director serve as ex officio members. For continuity, the chair of the Executive Committee for the next year will be elected at the last meeting of the Spring term by the committee from its faculty members.

   c. **TERM OF OFFICE:** One faculty member will be elected and one will be appointed at the August meeting of the School Council to serve for a period of one year. The third member of the committee is the chair who will have been elected by the Executive Committee during the previous Spring. Except for the chair, no faculty member shall serve on the committee two consecutive years.

   d. **MEETINGS:** Meetings of the Executive Committee shall be held monthly from September through April, and upon request of the chair or a member of the committee.

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e. **QUORUM:** The presence of three members of the committee constitutes a quorum.

f. **VOTING:** Issues are decided, as necessary, by a majority vote of the committee members.

g. **MINUTES:** Minutes will be circulated to the members of the School Council within a week following the meeting of the committee.

5. **SEARCH COMMITTEE**

a. **FUNCTION:** To serve as the vehicle by which the school identifies and recruits new faculty members. The process used by the committee are detailed in the School's Faculty Selection Process. (see Appendix 111)

b. **MEMBERSHIP:** Three members of the faculty, two of whom are elected by the School Council and one appointed by the director. Members of the committee are elected and/or appointed as necessary to reflect the status of faculty recruitment within the school.

c. **TERM OF OFFICE:** Members of the Search Committee serve on an annual basis (September through August).

d. **MEETINGS:** Meetings of the Search Committee are scheduled as needed depending upon the status of faculty recruitment within the school.

e. **QUORUM:** The presence of three members of the committee constitute a quorum.

f. **VOTING:** Issues are decided, as necessary, by a majority vote of the committee members present.

g. **MINUTES:** Minutes of the Search Committee are distributed as necessary.

6. **PROMOTION & TENURE COMMITTEE**

a. **FUNCTION:** To review all promotion and tenure cases and to recommend to the appropriate university bodies regarding same. To review personal files of all

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non-tenured assistant professors and advise such personnel regarding their progress toward promotion and tenure.

b. **MEMBERSHIP:** Three members of the faculty, two of whom are elected by the School Council and one appointed by the director. All members of the committee must be tenured faculty.

c. **TERM OF OFFICE:** Members of the Promotion & Tenure Committee serve on an annual basis (September through August).

d. **MEETINGS:** Meetings of the Promotion & Tenure Committee are scheduled as needed.

e. **QUORUM:** The presence of three members of the committee constitutes a quorum.

f. **VOTING:** Issues are decided, when necessary, by a majority vote of the committee members present.

g. **MINUTES:** Minutes of the Promotion & Tenure Committee are distributed as necessary.

7. **PLANNING COMMITTEE**

a. **FUNCTION** The Planning Committee provides the primary focus for the strategic planning activities of the school. The committee advises the School Council regarding planning issues and is responsible for: (1) Defining planning objectives that will increase the effectiveness of the school, (2) Recommending strategies for accomplishing the defined planning objectives to the School Council, (3) Identifying major problems and/or opportunities affecting school performance, and (4) Monitoring the extent to which the school achieves its goals and objectives.

b. **MEMBERSHIP:** Three members of the faculty, two of whom are elected by the School Council and one appointed by the director and one student; The director serves as an *ex officio* member of the committee. For continuity, the chair of the Planning Committee for the following year will be elected at the last meeting of the Spring term by the committee from its faculty members.

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c. **TERM OF OFFICE:** One faculty member will be elected and one will be appointed at the August meeting of the School Council to serve for a period of one year. The third member of the committee is the chair who will have been elected by the Planning Committee during the previous Spring. Except for the chair, no faculty member shall serve on the committee to consecutive years.

d. **MEETINGS:** Meetings of the Planning Committee shall be held monthly from September through April and upon request of the chair.

e. **QUORUM:** The presence of three members of the Planning Committee constitutes a quorum.

f. **VOTING:** Issues are decided, as necessary, by a majority vote of the committee members present.

g. **MINUTES:** Minutes will be circulated to the members of the School Council within a week following the meeting of the committee.

Additionally, full-time faculty members of the School of Library and Information Science participate in college-level councils and committees as defined in the *Operating Rules and Procedures of the College of Communications and Information Studies*.

These rules of procedure have been created and approved by the faculty of this school, pursuant to the authority granted by the Administrative and Governing Regulations of the University of Kentucky. These rules do not become effective until and unless approved by the Dean and Chancellor as indicated by their signatures below. Any modifications to these rules must also be approved by the Dean and Chancellor before the modifications take effect. These rules contain a total of 13 pages, each of which are initialed and dated by the undersigned persons. A current copy of the approved rules for this school is available in the office of the Director of the School, the Dean of the College, and the Chancellor's office.

__________________________________________________________________________  
Director (indicating approval by the faculty Date

__________________________________________________________________________  
Dean Date

__________________________________________________________________________  
Chancellor, University of Kentucky, Lexington Campus Date
### Appendix I

**Committee Membership**

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<tr>
<th>Role</th>
<th>Committees/Committees Information</th>
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<tr>
<td>Director</td>
<td>School Council (Chair); Admissions Committee (Ex Officio); Curriculum Committee (Ex Officio); Executive Committee (Ex Officio); Search Committee (Ex Officio).</td>
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<tr>
<td>Assistant Director</td>
<td>School Council; Admissions Committee (Ex Officio); Executive Committee (Ex Officio).</td>
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<tr>
<td>Administrative Assistant to</td>
<td>School Council.</td>
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<tr>
<td>the Director</td>
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<tr>
<td>Faculty</td>
<td>School Council; College Assembly; Faculty Council (2); Admissions Committee (3); Curriculum Committee (3); Executive Search Committee (3); Promotion and Tenure Committee (3).</td>
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<tr>
<td>Emeritus</td>
<td>School Council (All)</td>
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<tr>
<td>Students</td>
<td>School Council (2); Curriculum Committee (1); Search Committee (1).</td>
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<tr>
<td>Director of Graduate Studies</td>
<td>School Council; Admissions Committee (Ex Officio); Curriculum Committee (Ex Officio).</td>
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<tr>
<td>Coordinator of Computer</td>
<td>School Council.</td>
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<td>Services</td>
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Appendix II

Organizational Structure

Director (Also DGS)

Administrative Assistant

Coordinator of Computer Services

Assistant

Director

Admissions Assistant

School Council

Executive Committee

Curriculum Committee

Planning Committee

Curriculum Committee

Search Committee

Tenure & Promotion Committee
Appendix III
Faculty Selection Process

PREPARATION

1. Director reviews position with dean of the college and receives permission to initiate the faculty search.

1. School Council and director elects and/or appoints a Search Committee ensuring that there is at least one member whose expertise is in the subject area of each vacancy being filled. LISSO appoints one student.

2. In collaboration with the dean of the college, the director and faculty of the school, the Committee prepares a position description.

3. The dean of the college reviews the position description and ensures that the position is advertised in major professional journals and other appropriate places as recommended by the Search Committee.

4. Recommendations of possible candidates are sought from all members of the faculty, the director and any other individuals who may have some suggestions.

5. All inquiries regarding the position are sent to the chair of the Search Committee.

6. The director of the school ensures that all requirements of affirmative action and equal opportunity employment are satisfied.

REVIEW

1. All resumes and supporting materials are sent to the chair of the Selection Committee. The director circulates these materials to the faculty, administrative staff and students.

2. The chair of the Committee responds in writing to all inquiries and materials received from applicants and their references.

3. The dean of the college is provided a summary of the applicant pool.

INVITATION

1. The School Council reviews the applicant pool and decides which applicants will be invited for an interview on the recommendation of the Search Committee.
2. The chair of the Search Committee, writes letters of invitation for interviews with copies to the members of the Committee and the director.

3. The chair prepares an interviewing schedule for each candidate including all faculty, the director, assistant director, students, campus librarians, the College Dean, faculty members external to the College and other appropriate persons.

INTERVIEWING

1. Each faculty member, the director, and the assistant director interview the candidate (either individually or in small groups). Students interview the candidate as a group selected by LISSO.

EVALUATION

1. Evaluation forms with specific recommendations are used by all involved with the forms forwarded to the chair of the Search Committee.

2. The Search Committee reviews the recommendations and makes its report its recommendation to the School Council which in turn makes its recommendation to the director.

OFFERING

1. If in agreement with the School Council, the director makes a recommendation to the dean of the college who writes a letter offering the position to the recommended candidate.

2. If the preferred candidate does not accept the offer within a designated period of time, the School Council and director may recommend a second or third candidate to the dean of the college.

FOLLOW-UP

1. After the position has been filled, the chair of the Search Committee writes letters to all those who have applied.

2. The director follows through with the administrative process and paper work for appointment to the faculty.

3. All materials distributed to the faculty by the Search Committee is returned to the directors office for filing or disposal.
4. The director prepares any necessary search process information required by the University.

Appendix IV

Faculty Promotion Procedures

Because of the complexity of the promotion and tenure procedures, no attempt has been made to summarize the specific procedures of the university here. All individuals involved in the promotion and tenure process are referred to the University of Kentucky Administrative Regulations, AR 11-1.0-1, "Policies and Procedures on Appointment, Promotion, Granting of Tenure, and Termination of Appointment Applicable to Faculty in the University System," (with date effective, 8/20/92 and changes dated 9/18/92, 3/2/93@ 4/30/93).

The following is an approximate calendar for tenure and promotion considerations:

- Director and Committee determines persons to be considered for promotion and/or tenure. September
- Director solicits evaluations from external professionals recommended by the Committee. September
- Director requests evaluative letters from appropriate faculty members. September
- Director requests formal recommendation from Student Advisory Committee. October
- Director collects annual review and October evaluation data.
- Director receives faculty recommendations and prepares promotion and tenure file for consideration of Promotion and Tenure Committee. October
- Chair of the Committee gives evaluation and recommendation of Committee to the director. November
- Dean adds Committee and personal recommendations to the promotion and tenure file. November-December
Promotion and tenure file is forwarded by director to dean of the college.  

Dean of college forwards the promotion and tenure file to college Promotion and Tenure Committee for review and recommendation.  

Dean adds recommendation of college Promotion and Tenure Committee to promotion and tenure file along with personal recommendation.  

Dean forwards promotion and tenure file to chancellor of Lexington Campus who in turn forwards the file to the appropriate Academic Area Advisory Committee.  

Area Committee recommendation is returned to chancellor.  

Chancellor meets with Dean of the Graduate School, Dean of Undergraduate Studies, and Vice Chancellor for Research and Graduate Studies to discussion promotion and tenure cases.  

Dean of Graduate School recommendation sent to chancellor for addition to file.  

Chancellor adds his/her recommendation to the file and forwards it to the president for his/her recommendation and final action of the Board of Trustees.  

Dean informs candidate regarding promotion and/or tenure decision.  

Throughout the promotion and tenure process, the appeals process is available to the candidate as detailed in the University's Governing Regulations and Administrative Regulations.
CHECKLIST FOR PROMOTION DOSSIERS

1. Recommendation of department chair or school director.

2. Up-to-date curriculum vitae or resume.

3. List of names and ranks of faculty members in the educational unit.

4. Written opinion of each faculty member required to be consulted within educational unit.

5. Written opinions of other faculty members consulted.

6. Letters providing evaluation of individual's abilities in teaching, research or other areas (obtained by director from persons outside the university not suggested by the individual and obtained by director from persons outside the university suggested by the individual).

7. Brief biographical information on persons outside the university from whom director obtained letters and indication of which were suggested by candidate.

8. Results of faculty performance reviews for three previous years.

9. The Teaching Portfolio.

10. List of, and representative samples from, research articles, books, patents, writings, or other creative productivity.

11. Information or materials relating to professional status activity.

12. Information or materials relating to university and public service.

13. Description and criteria of special title series position or other assignment that differs from regular faculty position.

14. If the choice is not obvious, specification of which Area Committee should review the field and the candidate's written consent to be considered by this committee.

15. Description of the procedural steps used within the department, school and college, and explanation of how these steps were communicated to the faculty member.
16. Distribution of Effort Agreements since last promotion or initial appointment.

17. If applicable, indication of waiver of all or part of prior service.

18. Formal transcript indicating date of terminal degree.
Appendix V
Planning, Review and Evaluation of Faculty

I. Planning
The process of individual planning for an academic year takes place during the previous spring semester. The Faculty Planning Report is filled out by each faculty member and serves as the basis for planning discussions with the director of the school. Taking into account the needs of the school and the individual preferences as provided in the Faculty Workload Guidelines, and based upon university regulations, the director and individual faculty member reach an agreement. Where disagreement regarding workload assignment exist, the decision of the director is final. The information from the Report is then placed on the University's Distribution of Effort form and becomes the basis for the review and evaluation part of the cycle.

II. Review and Evaluation

A primary purpose of the performance review is individual and institutional self-improvement. The results of the review also serve as the basis for decisions regarding salary increase for that portion of salary funding where merit is the required criterion for allocation.

Performance evaluations of tenured faculty take place during the fall semester of the first year of the biennium and review the previous year. Performance evaluation will take place every year for non-tenured faculty and or tenured faculty who request an annual review. The evaluations are based on the Faculty Planning Report (including Distribution of Effort), student evaluation input, teaching portfolios, and the Faculty Performance Evaluation Report. A memo outlining the process and schedule, along with the chancellor's letter regarding same is sent to each faculty member. Included in the memo is the procedure and schedule for faculty appeals. Non-tenured faculty members are also regularly review in their second and fourth years to determine the progress they are making toward meeting the university's expectations for promotion and tenure.

The information submitted by the faculty and the students is evaluated and a numerical score is determined using a five point scale designed to recognize degrees of achievement ranging from outstanding, good, satisfactory and marginal performance.
FACULTY WORKLOAD GUIDELINES
Revised 4/93
SCHOOL OF LIBRARY AND INFORMATION SCIENCE
UNIVERSITY OF KENTUCKY

REGULAR TITLE SERIES

INSTRUCTION:
Primary considerations in determining number of classes:
- University System Faculty Workload Policy Statement
- Instructional needs of the college
- Individual faculty member's interests, expertise, and past performance
- Release time generated by external grant

Secondary considerations in determining percentage:
- Number of different courses for which instructor is responsible
- Number of multiple sections
- Size of classes (student contact hours)
- Complexity/difficulty of subject matter
- Introduction of new course
- Nonconventional teaching methods (e.g., individualized instruction, team teaching, etc.)

Suggested Instructional Workload

\[4 \times 4 = 95\%\]
\[2 \times 2 = 45\% \pm 5\%\]

Note: Typical teaching load in college is 2 X 2.
RESEARCH AND SCHOLARSHIP:
Primary considerations:
  o Institutional expectations
  o Individual faculty member's interests, expertise and past performance

Suggested Maximum Research Workload 50%
Suggested Minimum Research Workload 30%

Note: All faculty members are expected to devote
  a minimum of 30% of their DDE to Research
  and Scholarship, unless their teaching load is
  more than 2 X 2.

PUBLIC AND PROFESSIONAL SERVICE:
Primary considerations:
  o Institutional expectations
  o Public and professional service needs
  o Individual faculty member's interests, expertise and past performance

Suggested Maximum Workload 20%
Suggested Minimum Workload 5%

ADMINISTRATION:
Primary considerations:
  o Institutional expectations
  o Administrative needs of the college, and university
  o Individual faculty member's interests, expertise and past performance

Suggested Maximum Workload 20%
Suggested Minimum Workload 5%

Note: All faculty members have a minimum 5% of their DDE allocated to college
  and/or institutional administration.
Instruction

The evaluation of instruction is based on the following aspects of instruction as are appropriate:

- Student evaluations of classes and instructors
- Student evaluation of advising
- Percentage of distribution of effort
- Number of different courses taught
- Size of classes
- Innovative teaching methods
- New course preparations
- Unusual course revision
- Willingness to participate in the range of instructional activities of the school (e.g., summer sessions, off-campus, etc.)

Research and Scholarly Activities

Research and scholarly contributions are evaluated on the basis of the following as appropriate:

- Productivity (quality and quantity of results achieved)
- Distribution of effort percentage
- Nature of the activity (e.g., research or other)
- Nature of the productive output (e.g., book, journal article, book review, etc.)
- Where published (e.g., referred or not)
- Faculty member's own assessment of work

Service

Factors considered in the evaluation of service contributions are defined below:

Service to the public, professional associations and societies

- Nature of service contribution
- Distribution of effort percentage
- Value of service to the school, the profession or the community
Service to school, college and university

- Nature of service contribution
- Distribution of effort percentage
- Service beyond normal expectations within the school
- University-wide contributions

Personal Professional Development

- Nature of the activity
- Distribution of effort percentage
- Appropriateness of activity and results achieved

The results of the evaluation are communicated to the individual faculty members by the director. A memo listing overall performance ratings (without identifying individual faculty members), as well as the ranges of ratings in the various categories is sent to all faculty members.

Faculty members who are dissatisfied with the results of the evaluation may appeal that evaluation at the school, college and sector levels.

When salary funding information and guidelines are received the following spring, the performance ratings are used to allocate that portion of the salary funding designated for merit.
Appendix VI

Procedural Guidelines for Faculty Appeal of Evaluation

1. Director informs faculty member of his/her performance rating and advises him/her of the referents used in arriving at that rating.
2. If the faculty member is dissatisfied with his/her performance rating, he/she may inform the director of his/her intent to appeal the performance rating at the school level in writing.
3. The director provides faculty member with information regarding the schedule of the appeals process within the university.
4. After consultation with the school's Executive Committee, the director appoints a Faculty Appeals Committee to hear the appeal made by the faculty member.
5. The Faculty Appeals Committee secures needed documentation including, but not limited to, the following: (1) A formal written statement from the faculty member indicating the reasons for the appeal; (2) A formal written statement from the Dean detailing the evaluation process employed and the basis for the evaluation of the faculty member; (3) The faculty member's Distribution of Effort form, his/her Faculty Performance Evaluation form, his/her Planning Report, his/her Faculty Performance Evaluation Report, copies of his/her published or in-press research, course evaluation ratings, rating of advising, and the relative ratings of the faculty member for the evaluation period.
6. The Faculty Appeals Committee reviews all available information, or seeks additional information as necessary. The Committee then reviews the evaluation process and evaluates the faculty member's performance.
7. If the Committee considers it desirable, it may meet individually with the faculty member or the director to discuss specific aspects of the evaluation or the evaluation process.
8. The Faculty Appeals Committee makes a recommendation to the director based on its evaluation of the faculty member's performance and its assessment of the evaluation process.
9. The director accepts or rejects the recommendation of the Committee and informs the faculty member, and the members of the Committee, of his/her decision.
10. If the faculty member remains in disagreement with the director's evaluation, he/she may appeal that decision to the dean of the college before a faculty committee appointed by the dean. If still dissatisfied with the evaluation, he/she may appeal the evaluation to the Chancellor of the Lexington Campus for a hearing before a faculty committee appointed by the chancellor. After an appropriate hearing, the chancellor's Committee will make a recommendation to the chancellor whose decision will be final.

While the exact schedule for the review and evaluation process varies somewhat from year to year (specific dates are communicated to the academic unit
by the Chancellor's office each September), the following offers an approximate schedule:

Third week in January: Review completed by College and faculty member informed of results.

Second week in February: Deadline for individual faculty appeals to College committee.

First week in March: College Faculty Appeals Committee work completed.

Second week in March: Deadline for faculty appeals to Chancellor.

First week in April: Chancellor's appeals committee work completed.
I PERSONAL DATA

Name _______________________________ Soc. Sec. No. _______________________

Rank _______________________________ Full Time ( ) Part Time ( )

Administrative Title (if any) ________________________________________________

Period covered by this Report ______________________________________________

Distribution of Effort (%) Previously Agreed upon.

% Percent Instruction % Percent Personal Professional Development
% Percent Research % Percent Administrative (Including College and University Service)

% Percent Public and Professional Service

Optional Statement of faculty member with regard to accomplishments with special reference to agreed upon distribution of effort (continue on back of this page, if required).

II. INSTRUCTIONAL ACTIVITIES (TEACHING AND ADVISING).

____ Teaching

<table>
<thead>
<tr>
<th>Period</th>
<th>Course Number (1)</th>
<th>Section Number (2)</th>
<th>Credit Hours (3)</th>
<th>No. of Students (4)</th>
<th>Student Contact Hours (3 x 4)</th>
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<td>Summer 19</td>
<td></td>
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Comments:
Number of theses completed under your direction during this review period: Names of Students:

Number of doctoral committees:

Student Advising: Provide data for the number of students for whom you were advisor during this review period only.

<table>
<thead>
<tr>
<th>Period</th>
<th>Undergraduate Students</th>
<th>Graduate Students</th>
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<td></td>
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<tr>
<td>Spring 19</td>
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</table>

Supervision of interns or other special projects not reported above. Please describe.

Continuing Education Instruction.

Major Course and Curriculum Development. (Please describe.)
III. RESEARCH, SCHOLARSHIP OR OTHER CREATIVE ACTIVITIES

If scholarly accomplishments in your area are evaluated on the basis of publications and/or oral presentations based on research, give below the criteria for evaluation. Consultation with the Dean prior to completing this form is advised. These accomplishments for the review period should be listed where indicated. Please check one of the two categories below.

(  ) Evaluation should be based primarily on the basis of publications based upon research.

(  ) Other criteria (describe)

---------List publications (full citations) published during this review period. Do not list items submitted, in press, or those listed in this category on previous review forms. ATTACH COPIES (continue on back of this page if necessary.)

Monographs:

Referred Journal Articles:

Other article:
RESEARCH- SCHOLARSHIP, OR OTHER CREATIVE ACTIVITIES (Continued)

-------- Work submitted for publication in this review period.

-------- Work in progress but not submitted for publication in this review period.

-------- List published reviews, critiques, or abstracts ATTACH COPIES (full citations).
RESEARCH, SCHOLARSHIP OR OTHER CREATIVE ACTIVITIES (Continued)

--------List lectures speeches and papers (including presentations at seminars, conferences etc.)
ATTACH COPIES

--------If criteria for evaluation are other then publication or oral presentations based on research, list scholarly accomplishments (performances, shows, etc.) for this review period here.

--------List research grants awarded (give title and grantor).

--------List awards or recognition by learned societies, professional associations, etc. received during this review period.

--------List any other scholarly accomplishments for the review period not covered above.
IV. PUBLIC AND PROFESSIONAL SERVICE
(Include only service--do not include professional development aspects of association activities.) Give average number of hours per week spent on each)

----------Offices and committee assignments held in professional organizations

----------Other public service (describe)

V. PERSONAL PROFESSIONAL DEVELOPMENT ACTIVITIES (Describe)
(Individual continuing education and non-service aspects of association
VI. **ADMINISTRATIVE ACTIVITIES** (Includes institutional service)

--------College and University Administration (Include Committees and other activities. Give average number of hours per week spent on each)

--------University-Wide Administration
(Include Committees and other activities. Give average number of hours per week spent on each)

________________________________________
Signature

________________________________________
Date

Rev. 1986
## FACULTY PERFORMANCE EVALUATION
### SCHOOL OF LIBRARY AND INFORMATION SCIENCE

<table>
<thead>
<tr>
<th>Faculty Member's Name</th>
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<thead>
<tr>
<th>Category</th>
<th>Agreed Distribution of Effort (Percentage)</th>
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<td>c. Public &amp; Professional Service</td>
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<td>d. Personal Professional Development</td>
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<tr>
<td>e. Administrative Activities (Including College &amp; University Service)</td>
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<td>=</td>
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Aggregate Merit Rating (Sum of Merit Points)

COMMENTS:

---

Signature of Faculty Member

Signature of Dean

*5 - An exceptional performance, normally applicable to not more than ten percent of the faculty of the College.
4 - An excellent performance, above that which is expected of a typical faculty member
3 - A good performance (Not to be interpreted as merely average)
2 - An acceptable performance, but a need for some improvement may be indicated
1 - Performance is deficient.
### Faculty Performance Evaluation

<table>
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<tr>
<th>Percentage Workload</th>
<th>Exceptional</th>
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<th>Good</th>
<th>Acceptable</th>
<th>Deficient</th>
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</table>

*5 - An exceptional performance, normally applicable to not more than ten percent of the faculty of the College.

*4 - An excellent performance, above that which is expected of a typical faculty member.

*3 - A good performance.

*2 - An acceptable performance, but a need for some improvement is indicated.

*1 - Performance is deficient.