



# **Faculty Handbook**

## PREFACE

The College of Health Sciences Faculty Handbook is intended to be an informative, useful guide with general information about the College. This Handbook does not form any portion of the contract between the faculty member and the institution.

The language in the Handbook does not supersede, supplement, alter, or serve as an official interpretation of the language of official University documents such as the *Rules of the University Senate*, the *Governing Regulations*, and the *Administrative Regulations* (GR and AR), the *Code of Student Conduct*, the *University of Kentucky Bulletin*, or other documents which are described in the Handbook. As stated in the University Faculty Handbook preface, specific questions regarding the rights and duties of University employees - including faculty employees - can only be resolved by reference to the appropriate official documents.

Efforts will be made to update the electronic version of the Faculty Handbook in November of each year. A limited number of hard copies will also be available. ***When the hard copy and electronic version differ, the electronic version should be considered the most current.***

Date of Faculty Approval:

Date of Dean's Approval:

## CHS FACULTY TABLE OF CONTENTS

PREFACE.....	1
CHS FACULTY TABLE OF CONTENTS .....	3
I. Introduction, Mission Statement, Organization and Strategic Plans.....	4
II. Administrative Structure and Governance.....	4
Administrative Committees.....	9
Evidences for Appointment, Promotion and Tenure.....	10
Distribution of Effort.....	11
Tenure and/or Promotion Processes.....	12
Preparation of Dossiers.....	12
College Administrative Policies for Faculty Performance Review .....	14
III. Faculty Structure and Governance.....	15
Faculty Membership, Privileges, Rights and Responsibilities .....	15
Faculty Rules and Procedures .....	17
Governance .....	17
Faculty Committees.....	18
Recognizing Diversity Contributions in the Advancement Process .....	13
IV. Shared Administrative and Faculty Governance .....	19
Processes for Reviews of Department Chairs (joint faculty/dean decision-making) .....	19
Faculty Personnel Policies (College Faculty consultative input) .....	19
Appointments and Performance Review Policies (College Faculty consultative input).....	20
V. Appendices.....	21

## **I. Introduction, Mission Statement, Organization and Strategic Plans**

The College of Health Sciences was founded in 1966, with certificate, associate, and bachelor's degrees. It was among the first of 13 charter schools for allied health in the country. We now offer undergraduate and graduate degrees, as well as minor and certificate options, across nine health sciences disciplines. We are dedicated to educating frontline entry-level practitioners for the allied health disciplines in our college, as well as educating the clinical, educational, management and research leaders of tomorrow.

### **Mission Statement**

The mission of the University of Kentucky, College of Health Sciences is to help the people of the Commonwealth of Kentucky and beyond to gain and retain the highest level of health through creative leadership and productivity in education, research, and service.

### **Diversity and Inclusivity Statement**

We at the College of Health Sciences condemn racism and are committed to eradicating it in our college, our state, and in this country. As a college, our goal is to create a safe, inclusive environment for all—one from which every one of our students emerge as leaders in health care who practice with compassion and cultural humility.

### **College of Health Sciences Organizational Chart and Academic Departments:**

<http://www.uky.edu/chs/organizational-chart>

<https://www.uky.edu/chs/about/departments>

### **UK & CHS Strategic Plans**

The University of Kentucky's 2015-2020 Strategic Plan may be viewed at the following website: <https://pres.uky.edu/strategic-plan>

The College of Health Sciences' 2015-2021 Strategic Plan may be viewed at the following website: <https://www.uky.edu/chs/administration/office-dean/strategic-plan>

## **II. Administrative Structure and Governance**

The following are excerpts from the Governing and Administrative Regulations of the University of Kentucky. (<http://www.uky.edu/Regulations/>).

### **Dean of College**

The Dean is the executive officer of a college and ex officio member of all college committees. It is the Dean's function to see that the Governing Regulations, the Administration Regulations, the Rules of the University Senate, and the rules of the college faculty are enforced. (GR VII, page 9; item 2.c. <http://www.uky.edu/regsg/files/gr/gr7.pdf>)

The Dean will be formally reviewed by the faculty via the IDEA Administrative Feedback System (<https://www.ideaedu.org/services/feedback-system-for-chairs/>). IDEA feedback and analysis will be evaluated by the Provost.

### **Associate and Assistant Deans**

The Offices of Academic Affairs and Undergraduate Education Student Affairs, Faculty Advancement and Clinical Engagement, Research, and Finance and Administration are headed by the Associate Dean Academic Affairs and Undergraduate Education, the Associate Dean for Faculty Advancement and Clinical Engagement, the Associate Dean for Research, and the Assistant Dean of Finance and Administration, respectively. The general responsibility of these individuals is to provide support and guidance to the College through the efforts of the offices they lead. The responsibilities of each office are described in a subsequent section of this document.

The Dean will conduct **annual reviews of the Assistant and Associate Deans**. Similar to the review process for department Chairs (see below), the Dean will ask for a document highlighting the accomplishments of the unit and the successes and effectiveness of the Associate and Assistant Deans. Upon review, the Dean will meet with each Assistant or Associate Dean and provide an assessment of their effectiveness, in the form of a letter. Associate Deans are also evaluated during periodic reviews.

### **Executive Council**

The Executive Council is an advisory body toward policy-making for the administrative functions within the College. The Council has the responsibility for oversight and management of the strategic plan, fiscal resources, and quality assurance for all aspects of College operations. The Council serves an advisory function to the Dean and participants include the Dean, the Associate Deans, Assistant Deans, Department Chairs and Chair of Faculty Council (ex-officio).

### **Council of Chairs and Administrators**

The Dean of the College of Health Sciences convenes the Council of Directors and Administrators. The Council serves an advisory function to the Dean and consists of the Dean, all Associate and Assistant Deans and the Department Chairs.

### **Department Chair**

The chair works with the departmental faculty in its development of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and service function. A department is a basic educational unit within a college for instruction, research, and extension in a defined field of learning. The chair has the administrative responsibility for implementing the department's program within the limits established by the regulations of the University, the policies of the University Senate, and the rules of the college and of any school of which it is a part. The term of the Chair in the College of Health Sciences is 4 years and may be renewed for a second term consistent with the ARs. (GR VII, page 10, item 2.e.; <http://www.uky.edu/regsg/files/gr/gr7.pdf>)

The chair presides at all department meetings, except as the chair may delegate this function, and is an ex officio member of all department committees. The department chair is responsible for recommendations on the appointment of new faculty employees of the department, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint. Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, on matters relating to decisions not to reappoint, reappointment, terminal reappointment, or the granting of tenure of persons in any title series, the department chair shall consult with all tenured faculty members of the department. At a minimum, on matters relating to appointment

or promotion of any persons in any tenure-eligible title series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department with a rank at or above the rank to which the individual being considered would be appointed or promoted. At a minimum, on matters relating to appointment, decisions not to reappoint, reappointment, terminal reappointment, or promotions of persons in any tenure-ineligible series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department (GR VII.A.6(a)). (GR VII, page 10, item 2.e; <http://www.uky.edu/regs/files/gr/gr7.pdf>)

On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of any multidisciplinary research centers or institutes, or graduate centers with which the individual is, or would be, associated, along with the recommendation of the chair. Faculty employees in the tenure-ineligible series shall not be consulted on matters relating to appointment, reappointment, terminal reappointment, decisions not to reappoint, promotion or the granting of tenure of faculty employees in the tenure-eligible title series, except by invitation of the department faculty as provided below. (GR VII, page 11 of 13; <http://www.uky.edu/regs/files/gr/gr7.pdf>)

The department chair is responsible for the periodic evaluation of department members by procedures and criteria established by the University, the college, and the department faculty. The department chair submits the budget request for the department and administers the budget after its approval. The chair also is responsible for making recommendations on salaries, salary changes, and distribution of effort. The chair shall speak for the department. In the event that the chair believes it necessary to depart from the opinion of the department faculty, the chair shall communicate the department faculty's opinion as well as the chair's recommendation, stating reasons for differing from the department faculty's opinion, and notify the department faculty of such action. (GR VII, page 12 of 13; <http://www.uky.edu/regs/files/gr/gr7.pdf>)

### **Program Director**

The Program Director is the administrator for the discipline-specific programs within Departments. The Director represents the program to the Department Chair/Dean, serves as the program contact person, and coordinates program matters such as the curriculum, course changes, and correspondence. In addition, the Program Director assists the Department Chair with matters such as the Program budget, distribution of faculty teaching effort, accreditation visits and reports. The term of the Program Director in the College of Health Sciences is 4 years and may be renewed for additional terms by the Chair, in consultation with the Dean. (GR VII, pages 10-11; <http://www.uky.edu/regs/files/gr/gr7.pdf>)

### **Director of Graduate Studies**

A Director of Graduate Studies is appointed by the Dean of The Graduate School upon recommendation by the Chair in consultation with the respective Graduate Faculty and Program Director. Directors of Graduate Studies are local representatives of graduate programs; provide for administration of their respective graduate programs; and act as the official liaison with The Graduate School. They also facilitate communication with the CHS Office of Student Affairs. (For additional information see the DGS *Policies and Procedures*)

Manual at <https://gradschool.uky.edu/directors-graduate-studies>

### **Director of Undergraduate Studies**

A Director of Undergraduate Studies (DUS) is the administrator of a major-specific program within Departments. The DUS represents the program to the Department Chair/Dean, serves as the program contact person and administrator, and coordinates program matters such as the curriculum, course changes, and correspondence. In consultation with the Chair, they may carry out program logistics such as coordinating and overseeing admissions, arranging course scheduling, instructor assignments, identifying and instructors, providing part-time instructor and teaching assistant training and oversight to curriculum implementation. They also facilitate communication with the CHS Office of Student Affairs and the monitoring of student success and progression. The DUS is recommended by the Department Chair and appointed by the College Dean.

### **Office of Academic Affairs and Undergraduate Education**

The Office of Academic Affairs and Undergraduate Education supports the academic mission of the College by providing oversight of the development, growth, and maintenance of all CHS academic programs and for the provision of leadership to establish, implement, and advance a unifying identity and framework for undergraduate education. This position will oversee and guide the design and implementation of College-level program assessment and provide leadership for its strategic planning. The Office offers guidance and assistance pertaining to accreditation-related activities; degree-program, curricular, and course matters; interprofessional education, and other efforts to improve students' educational experiences and opportunities. With the full understanding that high-quality education requires capable faculty, the Office collaborates with the Office of Faculty Advancement and Clinical Engagement (OFACE) to promote faculty growth and success. The office will coordinate initiatives and collaborative activities related to undergraduate education and the operationalization of its educational framework. Serving as the academic home for exploratory and pre-major students, this Office will manage programs for these students in close collaboration with the Office of Student Affairs, program directors, and faculty.

### **Office of Assessment**

The Office of Assessment oversees the design and implementation of processes and tools to assess the mission, strategic goals and services of the college and its programs. It manages data for strategic planning, assesses and reports student learning outcomes, maintains data for accreditation, and oversees college-level data collection, analysis, and reporting. The office responds to all institutional and external constituent requests for information regarding assessment of academic curricular matters.

### **Office of Faculty Advancement and Clinical Engagement (OFACE)**

The Office is responsible for leadership in the oversight and support for the faculty advancement beginning with the policies and procedures related to the appointment, promotion and tenure of faculty in the College. With the full understanding that high-quality education requires capable faculty, the Office promotes faculty growth and success by offering a structured new faculty orientation, ongoing faculty development activities, and support for creative research and educational initiatives. The Office maintains faculty standard personnel files and provides oversight and administrative support to ensure that university procedures pertaining to faculty appointment and reappointment, allocation of work effort (DOE), periodic (Two- and Four- Year Reviews) and ongoing evaluation (FPR) and policies and procedures related to promotion and/or tenure are followed. The Office also assists faculty with dossier assembly, and assists the faculty and Chairs with requests for letters of

support and other matters of preparing a compliant dossier. For more details on preparing a compliant dossier please see [Tenure and/or Promotion Processes](#).

Second, the Office provides leadership in clinical engagement policies and procedures related to our partners in the healthcare sector that involve College students, faculty and staff. The Office provides leadership for existing clinical relationships within UKHealthcare, as well as facilitating new opportunities, and facilitates existing Distance Campus Initiatives in close collaboration with the Offices of Academic Affairs and Undergraduate Studies, Student Affairs, and Finance and Administration. The Office will also facilitate the College of Health Science's engagement with internal and external constituents in advancing and responding to changes in health care.

### **Office of Advancement**

The Office of Advancement creates opportunities for alumni, donors, and friends to connect to the college through meaningful events and partnerships. The Office connects donors to the college in meaningful ways and raises funds to enhance the College's ability to educate our future clinical, educational, administrative/management and research leaders in health sciences. The generous donations from alumni and friends of the College support much-needed student scholarships, professorships, and research endeavors. This Office works with administration, faculty, alumni, and friends to create partnerships that advance our mission.

### **Office of Finance and Administration**

The Office of Finance and Administration supports the College's academic, research and service efforts in managing financial resources. The Office is committed to providing cost-effective, timely information. It aids the faculty by providing financial data that is accurate and useful. The Office provides policies and resources that affect business practices at the department, College, and University level.

### **Office of Research**

The Office of Research provides overall management and support for faculty and staff grant programs and applications. It is responsible for building an internationally recognized research enterprise within the College of Health Sciences by creating and supporting interdisciplinary research teams across the college and beyond. It pursues that goal by providing general leadership, coordination and oversight to the research enterprise. The Office of Research also provides administrative and fiscal support to researchers including assistance in grant preparation, submission and management, research-related purchasing, interdepartmental, intercollegiate, and interagency communications, regulatory compliance, study coordination, etc.

### **Office of Student Affairs**

The Office of Student Affairs provides leadership and oversight of students' academic journey from recruitment to graduation. The office focuses on services to support student success of prospective and enrolled students at the University of Kentucky. Recruitment serves as the foundation for creating an environment of inclusion and academic strength. Key components to student success are linked to the services provided, which include: recruitment, admissions, academic advising, academic progression, registration, record keeping, course and career planning, graduation requirements, student conduct oversight, compliance (background checks, drug screens, and on-going immunization monitoring), and scholarships. Collaborations with faculty ensure timely progress to graduation by providing students with guidance on navigating their academic journey. In addition, co-curricular activities integrate classroom learning with experiences that complement the academic curriculum. These include living-

learning programs, research, education abroad, and seminars on student success, financial wellness, and stress reduction. Additionally, facilitates support and connection to academic (e.g., tutoring, disability resources) and social (e.g., clubs and organization, mentorship) resources as a mechanism of addressing the whole person. The office also provides opportunities for service and leadership (i.e., College of Health Sciences Ambassadors and Peer Mentors). The office works to develop the whole student in close collaboration with the offices of Academic Affairs and Undergraduate Studies, and Faculty Advancement and Clinical Engagement.

### **Office of Technology Services**

The Office of Technology Services provides up-to-date hardware, software, and support for students, faculty and staff. Its mission is to provide the highest quality technology-based services in the most cost-effective manner in order to facilitate the College's mission as it applies to, teaching, learning, research and service. In addition to providing hardware and software support the Office can help answer questions pertaining to the need and implementation of the information and communication technology in the College.

### **Creative Services Office**

The Creative Services Office provides faculty and staff with guidance for all design, marketing, communications and branding needs. The office is committed to promoting the excellence of the college alumni, faculty, staff and students through print materials, website content and social media.

A comprehensive list of the roles and responsibilities for all CHS administrative services personnel can be found at <https://www.uky.edu/chs/administration>

### **Staff Council**

The mission of the Staff Council is to serve as a liaison between the Dean and CHS staff, facilitate staff professional development, and encourage sense of community. The Council, elected by CHS staff, meets regularly with the Dean to offer input on staff issues and coordinates and plans meetings and activities for staff development and to promote interactions between staff and faculty.

## **Administrative Committees**

### **Practice Plan Committee**

The Committee composition shall include one faculty member of the Practice Plan from each Department. The Dean or designee and the Plan Administrator shall serve as ex-officio. Members shall serve for a two-year term and may serve for additional terms if elected.

Nominees must be a member of the Practice Plan. The Committee shall include a mix of people actively practicing and those not currently practicing in the Practice Plan.

Following nominations, elections will be held among members of the Practice Plan. The top vote recipient from each department will become a member of the Committee providing that a balance of faculty members currently practicing and those not currently practicing is achieved. Otherwise, balance will be achieved by considering overall vote totals within each category.

### **General Duties**

- The Committee shall select a Chair from among its members

- The Committee shall meet periodically (at least annually) and shall review the operation of the Plan and the College Addendum per A.R. 3.14:  
<https://www.uky.edu/regs/sites/www.uky.edu.regs/files/files/ar/ar3-14.pdf>
- The Committee shall make recommendations to the Dean with respect to modifications of the policies and procedures associated with the Plan
- In the event that changes are deemed necessary by the Dean, they shall be brought before the College Plan members by the Chair of the Committee

### **Research Advisory Committee**

The Research Advisory Committee (RAC) shall inform and advise the Dean on matters pertaining to research at the institutional level. At the college level, the RAC will advise the Dean on space and fund allocation pertaining to research activities, enhancement of research capacity focusing on the promotion of excellence in research, and the generation of funds to support it. The Committee shall be appointed by the Executive Council upon the recommendation of the Associate Dean for Research and shall consist of representatives from across the College's research enterprise. The Associate Dean for Research shall serve as the Committee Chairperson and the Dean shall serve as an ex officio member.

### **Diversity, Equity and Inclusivity Committee**

The mission of the Diversity, Equity, and Inclusivity Committee (<https://www.uky.edu/chs/inclusivity/committee>) is to facilitate the development of a culture of belonging through embracing diversity and inclusivity. Our purpose is to cultivate an environment where all of our students, staff, and faculty can live and work in openness, acceptance and safety. More details related to our mission can be found at: <https://www.uky.edu/chs/inclusivity>

### **Evidences for Appointment, Promotion and Tenure**

Evidences for AP&T can be found here: <https://www.uky.edu/chs/administration/oface>

Evidences for promotion and tenure for each CHS department were created to provide faculty and administrators with key activities and associated activities that exemplify and illustrate the criteria for appointment, promotion and achievement of tenure (where applicable) in the faculty title series represented in the College: Clinical, Lecturer, Regular, Research, and Special title series. These evidences are based on University of Kentucky Administrative Regulation criteria and support the mission of the CHS.

The documents should serve as a guide to illustrate required and expected evidences for promotion and tenure, as well as examples of additional evidences which add to the evaluation of merit. The document is **not designed to include all possible examples** of evidentiary outcomes for promotion and tenure nor is it intended to be considered a checklist of requirements.

Faculty activities in three areas, Scholarly Productivity, Instruction and Service, are present to support the mission of the CHS. The following three paragraphs provide an overview of the expectations for these areas.

Scholarly Productivity. All CHS faculty members are expected to be scholars and exhibit a career-long commitment to excellence and productivity. Traditional research through the scholarship of discovery is highly valued and expected in many positions. The faculty members

in the CHS also value the broadened scope of scholarship as defined by Boyer (*Scholarship Reconsidered: Priorities of the Professoriate*, 1990), inclusive of the scholarship of discovery, integration, application, teaching, and engagement. The requirements for outcomes related to scholarship for each faculty will be determined by the faculty title series, position description, DOE, and programmatic demands. It is recognized that programmatic demands result in some faculty having little time allotted to scholarship dissemination. In such cases, this is agreed upon in the position description, contract, and DOE. All faculty members are nevertheless expected to demonstrate a scholarly approach to their work.

Instruction. The College has a long history of excellence in teaching. It is expected that faculty members will contribute to the teaching mission when appropriate for the title series, and will demonstrate continued growth in this area throughout their academic careers. While most teaching assignments are related to didactic and clinical teaching, there is a growing need for mentoring of students in the area of research. Both types of teaching are needed and valued.

Service. Given the land grant mission of the University and the need for outreach related to allied health issues, service is an important component of faculty productivity. The College has the expectation that faculty members engage in service activities that will have a positive impact on the College, University, community, state and nation. There is also an expectation that faculty members will be active in professional associations at the state or national level.

It is expected that the collective outcomes of the faculty of each department will facilitate excellence in contributing to the three primary domains of the University and College mission: scholarly productivity, instruction and service. The extent of the focus in each of these domains will vary considerably for each individual faculty member, underscoring the importance of the contributions of the group as a whole in meeting the institutional missions. The faculty title series, the position description, the DOE, and programmatic demands and accreditation standards are determinants of the amount of time each faculty member devotes to each key domain of the mission. The evaluation of the faculty member's performance will reflect these determinants and the evidences needed for promotion. Depth and breadth of outcomes, quality and quantity of outcomes, and the cumulative professional trajectory will be considered in all evaluations. Ultimately, excellence will be defined by the impact of the individual's work on students, colleagues, patients, clients, the profession, and/or the community.

As indicated previously, these documents are a guide to illustrate required and expected evidences for promotion and tenure, as well as examples of additional evidences, which add to the evaluation of merit, and is not designed to be all inclusive.

### **Distribution of Effort**

The DOE is an instrument, which is directly tied to both establishing expectations for faculty productivity as well as establishing outcome measures for annual performance review. On initial appointment, a DOE will be negotiated between the Department Chair, Program Director (if appropriate) and the new faculty hire, and then will be approved by the Dean. In spring of each year, faculty are provided information about the process for preparing a DOE for the upcoming academic year. They are instructed to complete the steps below according to the deadlines provided in the annual instructions:

1. Faculty, Program Directors, and Chairs initiate DOE discussions within the Department. These are to be completed in sufficient time for Chair to prepare and submit electronic DOE

- documents to the Deans' office by the stated due date
2. Faculty schedule a DOE meeting with Chair during the designated window of time
  3. Prior to meeting with individual faculty, the Chair submits electronic DOE documents to the Deans' office, including: 1) summary DOE sheet for each program; 2) list of DOE items for discussion; 3) DOE worksheets for each faculty member. The Chair and Associate Dean for Faculty Advancement meet to discuss DOEs if indicated prior to approval by the Dean.
  4. Staff in the Office of Faculty Advancement input finalized DOEs for faculty/Chair signature;
  5. The electronic approval process is implemented
  6. Completed and signed DOEs are placed in faculty standard personnel files
  7. Process completed. Adjustments shall be made throughout the year for any change in DOE assignment exceeding 5%

### **Tenure and/or Promotion Processes**

Policies concerning employment are described in the Governing Regulations and Administrative Regulations at the following sites:

GR X; <http://www.uky.edu/regs/Administrative/gr10.htm>  
AR 2:1-1:<http://www.uky.edu/regs/Administrative/ar2.1.1.htm>

University policies concerning promotion and tenure requirements are described in the Administrative Regulations (2-1.0-1):

<http://www.uky.edu/regs/files/ar/ar2-1-1.pdf>.

The CHS adheres to the guidelines and due dates provided in the annual memorandum from the Provost regarding tenure and promotion processes. Further, the CHS provides annual timelines for the internal process to ensure that all actions are completed in a timely manner.

### **Preparation of Dossiers**

Preparation of dossiers for promotion to the assistant professor/associate professor/professor levels is generally initiated six months prior to the desired effective date. A dossier is prepared and required information arranged in the order found on the Appointment and Promotion checklist.

[https://www.uky.edu/chs/sites/chs.uky.edu/files/dossier\\_checklist\\_rev\\_08-05-19.pdf](https://www.uky.edu/chs/sites/chs.uky.edu/files/dossier_checklist_rev_08-05-19.pdf)

The Dossier Checklist and Matrix of Dossier contents provided by the University are used as guidelines to ensure all appropriate documents are included. These documents can be found here:

<https://www.uky.edu/regs/sites/www.uky.edu.regs/files/files/ar/ar2-1-1apx1.pdf>

[https://www.uky.edu/regs/sites/www.uky.edu.regs/files/files/ar/2.1\\_appendix\\_ii.pdf](https://www.uky.edu/regs/sites/www.uky.edu.regs/files/files/ar/2.1_appendix_ii.pdf)

<https://www.uky.edu/regs/sites/www.uky.edu.regs/files/files/ar/ar2-1-1apx3.pdf>

The final dossier contains all information provided by the faculty member in addition to

external and internal review letters and the letter from the Chair.

Once completed, the dossier is submitted to the Dean's Office. The CHS Appointment, Promotion and Tenure (APT) Committee is asked to complete its review and provide a recommendation. The APT Committee prepares a letter to the Dean recommending approval or disapproval of the promotion/tenure application.

The Dean prepares a letter of recommendation, and the entire dossier including all letters is forwarded to the Area Committee and then to the Provost. Final approval is granted by the Board of Trustees.

An Assistant Professor in the sixth or next to last year of a probationary period is entitled to a thorough promotion and tenure review unless the individual requests in writing his/her willingness to accept a terminal appointment or to resign his/her position.

For an associate professor, whose promotion to full professor is approved by the Dean, the Dean adds a letter of recommendation and forwards the dossier to the Area Committee. In all other cases, the Dean's decision to disapprove the proposal to promote an associate professor to the rank of full professor is final and the Dean notifies the faculty member in writing with a copy to the Department Chair.

A probationary regular, special, extension, or librarian title series faculty member who becomes the parent of a child or children by birth, adoption, or guardianship, or who assumes significant responsibilities for the care of a relative (see GR X.A.1) or domestic partner shall automatically be granted a one-year delay of the probationary period by the Dean of the respective college. The event or circumstances providing the basis for a delay related to significant care responsibilities must be clearly beyond those experienced by most probationary faculty. This provision is available to all probationary non-tenured faculty upon their official start date and up until the anniversary of their official start date in the year in which their tenure review is scheduled to occur.

A full description of the policy is found in the Governing Regulations (GR X-B.1.c; <http://www.uky.edu/regsg/files/gr/gr10.pdf>).

### **Recognizing Diversity Contributions in the Advancement Process**

The UK College of Health Sciences is committed to inclusive excellence, the education of the whole person, and the building of a just society. The CHS defines inclusive excellence as valuing the humanity of every person, both because of and irrespective of the qualities that make them unique. We are committed to a diverse and inclusive community by ensuring all students, faculty, and staff operate in an environment of openness and acceptance, in which individuals of all backgrounds, identities, and perspectives can feel secure and welcome.

Contributions in all areas of faculty achievement that promote inclusive excellence should be given due recognition in the academic advancement process, and they should be acknowledged similarly as other faculty achievements. These contributions to inclusive excellence can take a variety of forms, examples include, but are not limited to:

- Efforts to advance equitable access to education and outreach at all levels;

- Teaching that incorporates diversity and inclusion, health disparity issues, population risk factors, and research findings of inadequately represented, under-acknowledged, and disenfranchised populations in core curriculum content;
- Service that addresses the needs of diverse populations such as educational presentations, partnerships with community-based organizations/groups with a goal of improving health and wellness in communities;
- Research that discovers, documents and seeks to improve the health of vulnerable populations, and/or mitigate social determinants of health, within a scholar's area of expertise;
- Mentoring/Advising of students or faculty at all levels that assists those who are inadequately represented, under-acknowledged, or disenfranchised;
- Administrative efforts that encourage the recruitment and retention of diverse individuals, diversity and inclusion training of staff and faculty.

### **College Administrative Policies for Faculty Performance Review**

The **faculty performance review process** provides faculty with a mechanism for self-assessment and planning for professional development; affords the opportunity for faculty and the Department Chair to recognize the faculty member's professional contributions and accomplishments, discuss expectations for future performance, and identify strategies for meeting career goals; provides an important source of information for the promotion and tenure review process; and assists the Dean in making decisions about merit pay.

All faculty members must submit an updated curriculum vitae (CV) to the staff member assigned to your Department and have their materials updated in Digital Measures. Staff members will be assisting with data entry into Digital Measures although all faculty have access to Digital Measures if they prefer to update their data themselves.

All non-tenured faculty members will submit an updated, complete, and accurate Faculty Performance Review Report (FPRR) and supporting materials to the Department Chair. The Department Chair will review the FPRR and supporting materials, complete the evaluation and assign a rating on the FPRR, forward the completed FPRR and materials to the Associate Dean of Faculty Advancement to review in consultation with the Dean, and then meet with each faculty member to discuss the performance evaluation.

For more details related to faculty performance review policies, 2- and 4-year review procedures, and teacher course evaluations, please visit:

<https://www.uky.edu/chs/administration/oface>

A full description of the process can be found here:

[https://www.uky.edu/chs/sites/chs.uky.edu/files/fpr\\_review\\_process\\_2019\\_final.pdf](https://www.uky.edu/chs/sites/chs.uky.edu/files/fpr_review_process_2019_final.pdf)

*NOTE: The Standard Personnel File for each faculty member is kept and maintained in the Dean's Office and is available for review by the respective faculty member upon request*

### **III. Faculty Structure and Governance**

#### **Faculty Membership, Privileges, Rights and Responsibilities**

The College Faculty Membership consists of its Dean, assistant and/or associate Deans and full-time and part-time professors, associate professors, assistant professors, clinical title series, research title series positions, instructors, and lecturers having appointments to any department within the College. College Faculty Membership may be extended to any person appointed by the College for administrative work, teaching or research (e.g., adjunct faculty, voluntary faculty, administrative staff), by a majority vote of the College faculty. An individual may be assigned to more than one faculty; in this instance, one assignment shall be designated by the Provost or Dean as the primary appointment.

All College Faculty Members have the right to submit items for the agenda and attend all College faculty meetings.

All full-time faculty members whose primary appointments are in the College are voting members of the faculty. These include faculty who serve in administrative positions as Deans, associate and assistant Deans, professors, associate professors, assistant professors, faculty in regular, special, clinical, and research title series positions, as well as lecturers and instructors.

All adjunct faculty, voluntary faculty, and part-time faculty of all ranks without a primary appointment in the College are non-voting members of the faculty as are those who hold secondary appointments in the College. These persons may, however, be considered for voting status. Administrative staff members employed full-time by the College may be considered for membership, either voting or non-voting. Faculty Council will review applications for non-voting membership and make their recommendation to faculty for approval or non-approval based on the established criteria. A faculty member's change in status will automatically precipitate review of the faculty member's voting status. (e.g., full-time to part-time).

Voting Privileges may be extended to or withdrawn from non-compulsory members of the College faculty (e.g., part-time faculty, faculty with primary appointments in other colleges, adjunct faculty, voluntary faculty, and administrative staff) by a majority vote of the compulsory voting members of the College faculty.

#### **Meetings**

**Regular Meetings:** CHS Faculty meetings shall be scheduled at a minimum frequency of two times a year (one in fall and one in spring). The date, time and place are to be determined by the Faculty Council in consultation with the Dean, except when they determine that a meeting is not necessary.

**Special Meetings:** Special meetings may be called by the President of the University, the Provost, the Dean, or by written request to the Dean by eight (8) members of the voting faculty. The agenda shall be restricted to those items for which the meeting is called.

**Agenda:** The agenda for each meeting shall be determined by the Dean in consultation with the Faculty Council. Items for the agenda must be submitted to the Dean at least ten working days prior to the scheduled meeting. Any item proposed by a faculty member shall be considered for inclusion on the agenda by the Dean. Any item submitted to the Dean by a faculty member that has the written endorsement of five (5) voting members along with that of the initiator must be

included on the agenda. The agenda of each regular faculty meeting shall be distributed to the faculty at least five working days prior to the scheduled meeting.

**Quorum:** A quorum of the faculty shall consist of fifty (50) percent of the voting membership who are not on leave of absence, sabbatical leave, or leave because of less than a 12-month assignment period. A simple majority of those present and voting shall be sufficient for a final decision on issues considered by the faculty. In the event that a faculty member knows ahead of time that (s)he will not be able to physically attend a meeting when a quorum is required for voting purposes, provisions can be made prior to the meeting where a vote is scheduled, to accept e-mail voting (within a reasonable and pre-determined time frame) to satisfy the quorum requirement. Meetings are open to anyone who wishes to attend.

**Parliamentary Procedures:** Faculty meetings shall be conducted according to Robert's Rules of Order, Revised <https://psd.ca.uky.edu/files/robertsrulesoforder.pdf>, except as otherwise specified in these college rules.

**Minutes:** The minutes of each faculty meeting will be prepared and circulated to the faculty council chair or designated representative within 3 days following the meeting. They will then be approved for accuracy and posted for the entire faculty to access. Minutes can be accessed by all faculty by clicking the "Meeting Minutes" link on the Faculty Council webpage - <https://www.uky.edu/chs/administration/office-dean/chs-committees/faculty-council>

### **Faculty Authority**

The following are the rights and responsibilities of CHS Faculty and are appropriately delegated to faculty-nominated councils or committees (i.e., Faculty Council and Academic Affairs Committee):

- To review and approve or disapprove recommendations on new or existing courses, curricula, programs and educational policies;
- To establish appropriate faculty committees and approve or disapprove reports and recommendations submitted by the established committee;
- To review, evaluate and recommend appropriate changes in existing admission, retention and graduation requirements and standards;
- To initiate, review and approve or disapprove recommendations for new admission, retention and graduation requirements and standards;
- To handle other matters as may be delegated to it by the Governing Regulations of the University of Kentucky;
- To make recommendations, as deemed appropriate, to the Dean, the Provost, the President of the University, and the University Senate;
- To determine the form of the College's Student Advisory Council and its areas of responsibility as discussed in Section VI. 1.6 of the University Senate Rules.

The Code of Faculty Responsibilities applies to all faculty members and to all graduate students and others with teaching and/or research assignments in the sectors; these individuals are referred to collectively as "teaching and research personnel."

Faculty rights and responsibilities are described in the University Senate rules, SECTION VII at <https://www.uky.edu/universitysenate/rules-regulations>.

Discussion of general faculty and student relations, enforcement, sanctions, rights of the accused and complainants, etc. are described in the University Senate rules (see above link). For policies and procedures pertaining specifically to teaching and research assistants please refer to AR II-1.0-7.

## **Faculty Rules and Procedures**

The purpose of the Rules and Procedures of the Faculty of the College of Health Sciences is to promote effective and efficient conduct of the affairs of the College of Health Sciences and to supplement the Governing Regulations of the University of Kentucky, the Administrative Regulations and the Rules of the University Senate.

Consistent with the Governing Regulations the Administrative Regulations (<http://www.uky.edu/regs/ar.htm>), and the Rules of the University Senate, the faculty of each college shall establish its own rules, including a committee or council structure necessary for the performance of the faculty's functions. After approval of these by the Provost, copies of the rules of the faculty and a description of its committee structure shall be made available to its members and copies filed with the secretary of the University Senate and the Senate Council office.

Within the limits established by the regulations of the University and the policies and the rules of the University Senate, the faculty of a college shall determine the educational policies of that college. It shall make recommendations to the University Senate on such matters as require the final approval of that body, and it may make recommendations on other matters to the University Senate, to the president, or to other administrative officials. The academic or scholastic requirements of a college may exceed, but not be lower than, those established for the institution as a whole by the University Senate or the Graduate Faculty. The University Senate must approve any such differences in standards.

A faculty of a college may delegate by rule a defined part of the determination of its educational policies to an assembly of the college, which shall consist of the faculty and designated student representatives. The number of students voting and the method of selecting these students shall be determined by the rules of the college. (Excerpt from Governing Regulations, Part VII, A4; <http://www.uky.edu/regs/files/gr/gr7.pdf>)

## **Governance**

The Faculty Council and the standing committees described below are the means by which the College faculty exercises its rights and responsibilities and governs itself. In general, Faculty who are elected or appointed to a committee will assume their position on July 1 of the election year. The only exception to this policy pertains to membership on the Health Care College Council (HCCC; <https://www.uky.edu/universitysenate/health-care-colleges-council>) and University Senate. For these two bodies, official terms will begin in September. College administrative and faculty committee rosters will be updated yearly by July 1st of the current year and made available to faculty in hardcopy or digital form.

### **Faculty Council**

The Faculty Council shall be a body of elected delegates that will provide the means by which the Faculty can expeditiously discharge its responsibility to address educational and academic policy matters which transcend departmental responsibilities. Members will be the Faculty's voice and liaison with the Dean's Office and other Councils. The meetings of Faculty Council shall generally be open to anyone who wishes to attend. **For more information on the responsibilities, academic calendar, policies and procedures of Faculty Council please access the following link:**

<https://www.uky.edu/chs/administration/office-dean/chs-committees/faculty-council>

Faculty Council will be responsible for annual updates of the CHS Faculty Handbook. Minor changes which do not involve committee or policy changes can be made at the Faculty Council's discretion in consultation with the faculty and the Dean (e.g., updated links to websites within the document, word corrections, changes in University policies). Policy changes that involve faculty-elected committee procedures will need to be: 1) approved by 2/3 of the Faculty Council members; and 2) brought to the full Faculty of the CHS and be approved by a simple majority (50%) of the voting membership.

## **Faculty Committees**

The college is served by College Faculty Committees, which are established to expedite the work of the faculty. The Faculty Council members who serve in an ex officio, nonvoting capacity, or who are both regular committee members and the designated Faculty Council representative, are the liaisons between the standing Faculty Committees and the Faculty Council as the integrating body. In this spirit, each committee is encouraged to exchange ideas with the Faculty Council on the issues being considered within their respective charges.

For more details related to the responsibilities of each committee, please access the respective website links. Importantly, any content edits to these websites that yield policy changes will need to be approved by Faculty Council prior to editing (see previous section). Committees should reach out to the Chair of Faculty Council if they feel policy-related content needs to be edited or updated. Upon approval, the Chair of said committee will be responsible for contacting the Creative Services Office and overseeing the changes (<https://www.uky.edu/chs/administration/creative-services>). Further, said committee will be responsible for editing any non-policy content on their respective website.

### **Committee on Student Affairs**

The Committee on Student Affairs is a committee that brings continuity to the student experience. The Committee reports to Faculty Council and reviews and promotes the mission and function of the Office of Student Affairs. It also provides counsel to the Associate Dean of Student Affairs regarding the activities of the Office of Student Affairs. For more information on the responsibilities, policies and procedures of the Committee on Student Affairs please access the following link: <https://www.uky.edu/chs/administration/office-dean/chs-committees/student-affairs>

### **Academic Affairs Committee**

The Academic Affairs Committee (<https://www.uky.edu/chs/administration/office-dean/chs-committees/academic%20affairs>) shall consider departmental proposals relative to admissions criteria and procedures; new courses, curricula and programs; changes in courses, curricula and programs; and the termination of courses, curricula and programs and makes a recommendation to the Associate Dean for Academic Affairs to ensure that they are consistent with university's academic mission, strategies and priorities. **For more information on the responsibilities, policies and procedures of the Academic Affairs Committee please access the following link –** <https://www.uky.edu/chs/sites/chs.uky.edu/files/handbook-appendix-1-rev.pdf>

### **Appointment and Tenure & Promotion Appeals Committee**

The purpose of this committee is to review appeals related to appointment, promotion, or tenure and to advise the Dean relative to the merits of the appeal. The Dean appoints members to this committee.

## IV. Shared Administrative and Faculty Governance

### Processes for Reviews of Department Chairs (joint faculty/dean decision-making)

Policies and procedures for conducting **reviews of department chairs** and school/center directors, as appropriate for the individual colleges, shall be established **jointly** by the dean and the college faculty. (GR IX, page 2 of 2; <http://www.uky.edu/regs/files/gr/gr7.pdf>). The current review process is as follows. In years one and three of the four-year term of the Chair, the Dean will ask for a document highlighting the accomplishments of the department and the successes and effectiveness of the Chair. Upon review, the Dean will meet with each Chair and provide an assessment of their effectiveness, in the form of a letter. The Chairs will also be formally reviewed by the faculty via the IDEA Administrative Feedback System (<https://www.ideaedu.org/services/feedback-system-for-chairs/>) on alternate years, years two and four. The IDEA Administrative Feedback System provides feedback and analysis, as well as a customized plan, for professional development based on priorities determined by the Dean. Faculty will anonymously respond to customized questions about leadership effectiveness. Results are then aggregated and reviewed by the Dean.

In consultation with the college faculty, the Dean shall establish procedures used at the level of the college concerning: (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint (GR PART VII, UNIVERSITY ORGANIZATION Page 6 of 13); (2) the faculty performance evaluations; and (3) faculty input in the evaluation of the performance of school directors and department chairs **during the interval between periodic reviews**. (GR VII, pages 5 and 6 of 13; <https://www.uky.edu/regs/sites/www.uky.edu/regs/files/files/gr/gr7.pdf>)

### Faculty Personnel Policies (College Faculty consultative input)

In consultation with the College Faculty, the Dean establishes procedures used at the level of the college concerning recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint (GR VII.E.3.c; <http://www.uky.edu/regs/files/gr/gr7.pdf>).

A department faculty may establish policies that extend the above minimum consultation requirements in faculty personnel matters to include the specified participation of other full-time faculty employees in any series in the department. Once these policies on extended participation privileges are approved by the department faculty (GR VII.A.6(a)) and reviewed by the department chair, the dean and Provost for consistency with the Governing Regulations, Administrative Regulations and rules of the College, and approved, these policies shall be incorporated into the rules document of the department. The following exceptions may be made: (1) faculty employees on approved leave of absence or with a primary administrative, service, or other assignments outside the department, who are otherwise eligible to participate, may, but are not required to, provide written judgments on all recommendations; (2) faculty employees at the rank of Instructor in any title series participate only upon the granting of participation privileges by the department faculty, and, (3) in a large and diverse department, upon prior recommendation by the department faculty (GR VII.A.6(a)) and approval of the dean and the Provost, consultation with faculty employees may be restricted to those associated with the concerned, previously-defined academic division or program area in the department. (GR VII, page 11 of 13; <http://www.uky.edu/regs/files/gr/gr7.pdf>)

## **Appointment, Promotion and Tenure (AP&T) Committee - Policy on Membership**

The Dean appoints this college committee annually after consultation with the Faculty Council. The Committee reviews dossiers and makes recommendations to the Dean concerning matters of faculty appointment, promotion, and tenure. (Rules governing appointments, promotion and tenure are found in AR 2:1-1 at <http://www.uky.edu/regs/files/ar/ar2-1-1.pdf>. The CHS AP&T Committee will include five tenured members and a minimum of two tenured alternate members. The majority of the Committee should be faculty at the rank of Professor. In the event that a Committee member is unavailable/not qualified to participate in deliberations and voting for a candidate, qualified alternates will be considered. If both are qualified, appointment will be made using a randomized method. If a candidate for promotion and/or tenure is a member of the Committee member's Department, the Committee member will write a letter for the candidate's dossier and be recused from the Committee meeting. Academic rank is not a consideration in determining Committee member participation and vote on a candidate. For more details related to minimum consultation and written judgments for a candidate's promotion, please access the following link to Appendix I of AR 2:1-1. <https://www.uky.edu/ofa/sites/www.uky.edu.ofa/files/uploads/ar2-1-1apx1.pdf>

## **Appointments and Performance Review Policies (College Faculty consultative input)**

The process of appointment (initial, reappointment, terminal reappointment, joint appointment, post-retirement appointment, or decision of non-renewal) is described in the Administrative Regulations, Chapter 2:1-1. (<http://www.uky.edu/regs/files/ar/ar2-1-1.pdf>) and in the Governing Regulations, GR X (<http://www.uky.edu/regs/files/gr/gr10.pdf>).

Further, the process for faculty recruitment and selection can be found at the following link:

[https://www.uky.edu/chs/sites/chs.uky.edu/files/sop\\_for\\_faculty\\_recruitment\\_3.9.2020.pdf](https://www.uky.edu/chs/sites/chs.uky.edu/files/sop_for_faculty_recruitment_3.9.2020.pdf)

Briefly, approval to recruit for a faculty vacancy must be obtained from the Dean and Provost's office prior to beginning the recruitment process. The Process for Requesting Faculty Positions (see link below) must be followed prior to beginning the Recruitment & Selection process.

[https://www.uky.edu/chs/sites/chs.uky.edu/files/Biz\\_forms/Updates/SOP%20for%20Requesting%20New%20Faculty%20Position%209-19-2016%20%281%29.pdf](https://www.uky.edu/chs/sites/chs.uky.edu/files/Biz_forms/Updates/SOP%20for%20Requesting%20New%20Faculty%20Position%209-19-2016%20%281%29.pdf)

Once the position is approved, the Department Chair initiates the process. All procedures related to recruitment and appointments can be found at the following link:

<https://www.uky.edu/chs/administration/oface>

In consultation with the College Faculty, the Dean establishes procedures used at the level of the college concerning the faculty performance evaluations. The evaluation instrument or forms that are used in the college are to be developed by the Dean of the college and must involve consultation with an appropriate faculty governance body, i.e., the College of Health Sciences Faculty Council (GR VII.E.3.c, <https://www.uky.edu/regs/sites/www.uky.edu.regs/files/files/gr/gr7.pdf>; AR 3:10, <https://www.uky.edu/regs/sites/www.uky.edu.regs/files/files/ar/ar3-10.pdf>, *Provost memorandum*).

## V. Appendices

Appendix 1: [Academic Affairs Committee, Course and Program Review and Approval Process Guidelines](#)

Appendix 2: [Ad Hoc Policy for Determining the Future of Academic Programs](#)

Appendix 3: [DOE Worksheet](#) and [Instructions](#)

Appendix 4: [Guidelines for Preparation of a Curriculum Vita](#)

Appendix 5: [Teacher/Course Evaluation Resources and Guidelines for Preparation of the Teaching Portfolio](#)

Appendix 6: [Faculty Mentoring Map](#)

Appendix 7: [Useful University of Kentucky Websites](#)