PROMOTION & TENURE BEGINNINGS

UNIVERSITY OF KENTUCKY

Chana Akins, PhD
Assistant Provost for Faculty Advancement Initiatives

G. T. Lineberry, PhD
Associate Provost for Faculty Advancement

Office for Faculty Advancement

December 9, 2021
TODAY’S PANELISTS

Greg Erhardt, College of Engineering, Civil Engineering, Regular Title Series

Debra Hampton, College of Nursing, Special Title Series

John (‘‘Jack’’) Maddox, College of Engineering, Mechanical Engineering, Paducah Campus, Special Title Series

Simone Silvestri, College of Engineering, Computer Science, Regular Title Series

Haoying Sun, Gatton College of Business & Economics, Supply Chain Management, Regular Title Series
THANK YOU PANELISTS!
GUIDING PRINCIPLES

- Promotion and tenure procedures
- Administrative Regulations (AR) 2:1-1 procedures
- Revisions by administrators (Provost Memos)
# UK Faculty Title Series

<table>
<thead>
<tr>
<th>Faculty Series</th>
<th>Tenure?</th>
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<tr>
<td>Regular</td>
<td>Yes</td>
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<tr>
<td>Research</td>
<td>No</td>
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<tr>
<td>Clinical</td>
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<td>Special</td>
<td>Yes</td>
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<td>Extension</td>
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<td>Librarian</td>
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<tr>
<td>Lecturer</td>
<td>No</td>
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TITLE SERIES COMPARISON—REGULAR TITLE (TENURABLE)

- Teaching, Advising, Instruction
- Creative Activity/Research
- Professional, University, Public Service
TITLE SERIES COMPARISON—RESEARCH TITLE (NONTENUREABLE-PROMOTABLE)

- Creative Activity
- Limited Duration
- Designated Funds
TITLE SERIES COMPARISON—
CLINICAL TITLE
(NONTENURABLE-PROMOTABLE)

Clinical Title
- Clinical Practice
- Instruction/Experiential
- Service to Clients/Patients

Health Care Programs
- Patient Care Services
- Professional Expertise
- Student/Clinical Experience
Tenure Progression – Six Probationary Years (not counting any delays)

Year 1—Setting the Stage

Year 2—Review & Mentoring

Year 3—Progress, National, Funding

Year 4—Review & Growth

Year 5—Meet Metrics or Change Career/Trajectory

Tenure Progression – Six Probationary Years (not counting any delays)
YEARS 1

- Offer Letter
- Clear Workload
- Review Evidence Statements
  - Know where these are located, provided to faculty with offer letter
  - If not developed for all title series in your college, refer to promotion/tenure criteria in the job description or university administrative regulations
Example of Evidence Statement

<table>
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<th>COLLEGE OF PHARMACY POLICY / PROCEDURE</th>
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<tr>
<td><strong>Title</strong></td>
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<td><strong>COP Number</strong></td>
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<td><strong>Administrative</strong></td>
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<td><strong>Governance</strong></td>
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Pharmaceutical Sciences Department Standards and Criteria for Promotion

The criteria and standards outlined below are to provide guidance to the faculty (both evaluator and evaluated) toward discipline-specific criteria for promotion as described in the University Administrative Regulation (AR 2:1-1).

1. **Criteria and Standards**

Assistant to Associate:
Promotion to Associate Professor requires evidence of sustained scholarship associated with research, teaching or service, along with clear evidence of independence and emerging national recognition. Evidence of quality contributions in teaching and service to the university or profession is expected. Excellence in research and scholarship is desired and valued.

- Evidence of sustained scholarship includes, but is not limited to, multiple peer-reviewed publications in books or journals relevant to the candidate’s area of expertise that span the years immediately preceding the year of consideration for promotion.
- Evidence of independence includes, but is not limited to, sole, lead, or senior authorship, without previous mentors as co-authors on publications.
- Evidence of emerging national recognition includes, but is not limited to, presentations at national meetings; invited seminar presentations at the local, regional, and national level; membership on review panels and editorial boards.
- Evidence of excellence in scholarship includes, but is not limited to, publications in highly regarded journals within the candidate’s field, as judged by colleagues within that discipline; citations of the candidate’s independent publications; recognition of the importance of the scholarship in letters solicited by the Chair.
- Evidence of quality contributions in teaching includes, but is not limited to, positive reviews of teaching by students and colleagues, including formal evaluations by colleagues; instruction at courses or workshops; formal or informal presentations at local, regional, and national level; leadership in curriculum development; and teaching innovation within the discipline.
PROGRESS REVIEWS: YEAR 2 & 4 (3 & 4 IN A&S)

Chair and Tenured Department Faculty Review

Based on Faculty Workload on Position Description
**WHAT IS THE DIFFERENCE BETWEEN WORKLOAD AND DOE?**

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<tr>
<th>Category</th>
<th>Percentage</th>
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<tr>
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<td>Professional Development/Service</td>
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<table>
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<th>Percentage</th>
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<tr>
<td>Professional Development/Service</td>
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PROGRESS REVIEWS: YEAR 2 & 4*

- Chair and Tenured Department Faculty Review
  - Mandatory at 2 and 4 years in most colleges
  - Digital Measures – Productivity Data
  - Information entered from CV
  - Updated annually
  - Reports generated
  - Faculty Administrator should prompt Chair when reviews are necessary (Resource: Faculty Affairs College Contacts)

*CAS reviews are in Years 3 and 4
YEAR 3

- Review original workload, offer letter, evidence statements

- Key suggestions:
  - Pre-appointment research activities
  - Regular meetings with mentor
  - National activities
  - Grant funding
  - Demonstrate improvements in teaching
  - Student progress/graduation/placement

- Possible consideration of workload revision
YEAR 5

- This is typically **THE** year for faculty to compile his/her promotion dossier
- Sustain activities
- Plan for letters of support:
  - National (and int’l) colleagues who can provide an evaluative letter?
- Department assistant and Faculty Affairs representative in college can help manage the dossier compilation process
DOSSIER

- Joint Effort:
  - Faculty Member
  - Academic and Faculty Affairs Office
  - Department Administrative Assistant

- Key Elements (see OFA website CHECK LIST (uky.edu))
  - Position Description/Workload
  - External Letters
  - Internal Letters (primarily unit faculty but others possible)
  - Evidence (Including Periodic Reviews)
**APT Committee**
- Dossier Reviewed and Discussed
- Recommendation based on “worthiness”

**Dean**
- Dossier and APT Recommendation Reviewed
- Recommendation Letter Added

**Academic Area Committee**
- Dossier and all prior recommendations reviewed
- Recommendation made

**Provost**
- Dossier reviewed and all prior recommendations reviewed
- Final decisions conveyed to deans

**Board of Trustees**
- Final Approval

**Timeline**
- **Fall**
- **December**
- **January-March**
- **March 27**
- **Late-April or early May**
APT ROLE AND FUNCTIONS

Comprised of faculty members with Associate Professor or higher rank

APT Chair appointed by Dean

- Reviews “worthiness” of candidate based on dossier materials
- When reviewing dossiers:
  - APT Committee Chair leads discussion in committee
  - Strengths & weaknesses
  - Vote taken after discussion
- Vote and key discussion points relayed to Dean
- Recommendation made to Dean
QUESTIONS?
## OUTCOME OF PROVOST DECISION ON PROMOTION / TENURE (2018-2021)

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<tr>
<th>COLLEGE</th>
<th>FISCAL YEAR 2016-17</th>
<th>FISCAL YEAR 2017-18</th>
<th>FISCAL YEAR 2018-19</th>
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<td>(1%)</td>
<td>134/3**</td>
<td>(3%)</td>
<td>158/2**</td>
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* T.O. (Tenure only)  
**Decisions through June 30, 2017

* T.O. (Tenure only)  
**Decisions through June 30, 2018

* T.O. (Tenure only)  
**Decisions through June 30, 2019

* T.O. (Tenure only)  
**Decisions through June 30, 2020

* T.O. (Tenure only)  
**Decisions through June 30, 2021

For each set of numbers separated by " / " , the left side denotes "Considered" and the right "Not approved"
# PROMOTION & TENURE CASE DECISIONS ACROSS ALL LEVELS BY COLLEGE 2020-21 (Total Cases = 178)

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<th>College</th>
<th>Dept Faculty</th>
<th>Chair</th>
<th>College Committee</th>
<th>Dean</th>
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</table>

T.O. (Tenure only)

*Sr. Lecturer promotion(s): Area Comm do not review

Decisions through June 30, 2021
GUIDING DOCUMENTS

Promotion & Tenure procedures

Administrative Regulations (AR) 2:1-1 procedures

These procedures are periodically revised to reflect recommendations of faculty committees and administrators for improving the effectiveness of the review process – Provost memo
MEMORANDUM

To: Deans, Chairs and Directors

From: Robert S. DiPaola, M.D.
      Acting Provost

G. T. Lineberry, Ph.D.
Associate Provost for Faculty Advancement

Subject: Appointment, Reappointment, Promotion and Tenure Procedures for 2021-2022

Date: September 20, 2021

Please forward this memorandum to all faculty employees in your unit.

Decisions to promote faculty and to award tenure are among the most important judgments made by any university. Those decisions determine the future quality of academic programs. As a comprehensive university, our richness is defined in part by the many activities faculty members engage in across the institution. The variety of faculty assignments also contributes to the complexity of evaluating faculty performance. Therefore, the university must provide thoughtful, accurate and thorough guidance to all members of the academic community who participate in the evaluation of faculty for promotions and tenure. This memo is intended to offer such guidance.

The centrality of the educational unit faculty in the evaluation of faculty for appointment, reappointment, promotion and the granting of tenure cannot be overstated. It is within the educational unit of the individual under review that the criteria for assessing faculty performance are best understood. As a promotion or tenure review dossier moves beyond the home unit and college, academic area advisory committee members and others look to the judgments of the educational unit faculty members, and of the external reviewers they invite to participate in promotion or tenure cases, for their principal guidance. Indeed, considerable deference in tenure cases shall be shown by the Provost to the judgments emanating from the college, especially in cases where those college-level judgments (unit faculty, educational unit administrator, college advisory committee and dean) are nearly unanimous, either for or against the granting of tenure or promotion. In light of this responsibility, educational unit faculties must engage in the evaluation of their members with an unwavering commitment to the objectivity, rigor and integrity of the evaluative process, fully cognizant of the fact that a judicious and defensible outcome is predicated on the proper application of the university’s policies and procedures on faculty evaluation.
GUIDING DOCUMENTS

- Governing Regulations (GR) X-B.1.c

Automatic Delay of Probationary Period

- Procedures and form
  - Application
  - [https://www.uky.edu/ofa/automatic-delay-probationary-periods](https://www.uky.edu/ofa/automatic-delay-probationary-periods)

* COVID delay, if invoked
GUIDING DOCUMENTS

• Faculty Performance Evaluation and Progress Review

• Procedures and AR 3:10
GUIDING DOCUMENTS

• University-level general criteria and evidences of activity based on your ‘title series’

• Department-developed policy statements describing discipline-level evidences for promotion and tenure
PROCESS FOR P&T

You (Appointment, DOE, Perf. Evals. Dossier) → Unit Faculty & Dept. Chair → College

Board of Trustees ← President ← Univ. (Area Committee → Provost)
THE P&T TIMELINE – FOR YOU!

We want YOU! to:

• Build your case – over 5 years
• Work with department chair/director to prepare your dossier – typically in Fall of your 5th year
• Culmination— typically during the next-to-last year of your probationary period

Typically dossiers due to deans in Oct/Nov
• Decisions – late-April or early-May
QUESTIONS?