Promotion and Tenure (P&T): What’s Expected

Dr. Kathryn Cardarelli, Office of the Provost & College of Public Health
Dr. Nicole Thorne Jenkins, Gatton College of Business & Economics
Dr. G. T. Lineberry, Office of the Provost & College of Engineering
Dr. Catherine A. Martin, College of Medicine
Dr. John J. Obrycki, College of Agriculture, Food and Environment
Workshop Outline

Testimonials/Panel

University Regulations

Role of Department Chair

Role of Mentors

Your Role and Responsibilities
Panelists Share Experiences
University Regulations
Myths About P&T

- They don’t read it; they just count stuff...
- Just keep pushing material from your dissertation...
- Extension/engagement doesn't count, just research (and maybe teaching, somewhat)...
- The process is mysterious...
- Administrators want to deny tenure whenever they can...
- Review decision outcomes in recent past
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Considered/Not Approved</td>
<td>Considered/Not Approved</td>
<td>Considered/Not Approved</td>
<td>Considered/Not Approved</td>
<td>Considered/Not Approved</td>
</tr>
<tr>
<td></td>
<td>P w/tenure Promotion only</td>
<td>P w/tenure Promotion only</td>
<td>P w/tenure Promotion only</td>
<td>P w/tenure Promotion only</td>
<td>P w/tenure Promotion only</td>
</tr>
<tr>
<td>AGRICULTURE</td>
<td>2/0</td>
<td>7/0</td>
<td>7/1</td>
<td>5/0</td>
<td>9/0</td>
</tr>
<tr>
<td>ARTS &amp; SCIENCES</td>
<td>8/0 (one T.O.)</td>
<td>10/1</td>
<td>11/0</td>
<td>10/0</td>
<td>25/0 (one T.O.)</td>
</tr>
<tr>
<td>BUSINESS &amp; ECONOMICS</td>
<td>3/0</td>
<td>3/1</td>
<td>1/0</td>
<td>1/0</td>
<td>3/0</td>
</tr>
<tr>
<td>COMMUNICATIONS &amp; INFO</td>
<td>1/0</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
<td>3/0</td>
</tr>
<tr>
<td>DENTISTRY</td>
<td>4/0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DESIGN</td>
<td>2/0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>EDUCATION</td>
<td>3/0</td>
<td>5/0</td>
<td>3/0</td>
<td>1/0</td>
<td>4/0</td>
</tr>
<tr>
<td>ENGINEERING</td>
<td>5/2 (one T.O.)</td>
<td>9/0</td>
<td>8/0</td>
<td>4/0</td>
<td>4/0</td>
</tr>
<tr>
<td>FINE ARTS</td>
<td>3/0</td>
<td>6/0</td>
<td>1/0</td>
<td>5/0</td>
<td>1/0</td>
</tr>
<tr>
<td>GRADUATE SCHOOL</td>
<td>1/0</td>
<td></td>
<td></td>
<td>1/0 (one T.O.)</td>
<td></td>
</tr>
<tr>
<td>HEALTH SCIENCES</td>
<td>2/0</td>
<td>3/0</td>
<td>2/0</td>
<td>3/0</td>
<td>3/0</td>
</tr>
<tr>
<td>LAW</td>
<td>1/0 (one T.O.)</td>
<td>2/0</td>
<td>2/0</td>
<td>1/0</td>
<td>3/0</td>
</tr>
<tr>
<td>LIBRARIES</td>
<td>2/0</td>
<td>2/0</td>
<td>1/0</td>
<td>3/0</td>
<td>3/0</td>
</tr>
<tr>
<td>MEDICINE</td>
<td>11/0 (one T.O.)</td>
<td>37/0</td>
<td>7/2</td>
<td>42/0</td>
<td>5/1</td>
</tr>
<tr>
<td>NURSING</td>
<td>3/0</td>
<td>2/0</td>
<td>4/0</td>
<td>1/0</td>
<td>3/0</td>
</tr>
<tr>
<td>PHARMACY</td>
<td>5/0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PUBLIC HEALTH</td>
<td>2/0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SOCIAL WORK</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1/0</td>
</tr>
<tr>
<td><strong>SUB-TOTAL:</strong></td>
<td>49/2 (4%)</td>
<td>24/1 (1%)</td>
<td>58/5 (9%)</td>
<td>81/0 (0%)</td>
<td>67/1 (2%)</td>
</tr>
<tr>
<td><strong>GRAND TOTAL:</strong></td>
<td>143/3** (2%)</td>
<td>139/5** (4%)</td>
<td>168/1** (1%)</td>
<td>134/3** (3%)</td>
<td>158/2** (2%)</td>
</tr>
</tbody>
</table>

* T.O. (Tenure only)
* T.O. (Tenure only)
* T.O. (Tenure only)
* T.O. (Tenure only)
* T.O. (Tenure only)

** Decisions through June 30, 2015
** Decisions through June 30, 2016
** Decisions through June 30, 2017
** Decisions through June 30, 2018
** Decisions through June 30, 2019

◊ 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 2018-19 (Total Cases = 158)

<table>
<thead>
<tr>
<th>College</th>
<th>Dept Faculty</th>
<th>Chair</th>
<th>College Committee</th>
<th>Dean</th>
<th>Area Committee</th>
<th>Provost</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Reviewed/D</td>
<td>Disapproved</td>
<td>Reviewed/D</td>
<td>Disapproved</td>
<td>Reviewed/D</td>
<td>Disapproved</td>
</tr>
<tr>
<td></td>
<td>Promotion</td>
<td>only</td>
<td>Promotion only</td>
<td>Promotion only</td>
<td>Promotion</td>
<td>Promotion only</td>
</tr>
<tr>
<td>ARTS &amp; SCIENCES</td>
<td>15/0 (two T.O.)</td>
<td>11/0 (two T.O.)</td>
<td>15/0 (two T.O.)</td>
<td>11/0 (two T.O.)</td>
<td>15/0 (two T.O.)</td>
<td>11/0 (two T.O.)</td>
</tr>
<tr>
<td>BUSINESS &amp; ECONOMICS</td>
<td>4/0</td>
<td>3/0</td>
<td>4/0</td>
<td>3/0</td>
<td>4/0</td>
<td>3/0</td>
</tr>
<tr>
<td>COMMUNICATIONS &amp; INFO</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
</tr>
<tr>
<td>DENTISTRY</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
</tr>
<tr>
<td>DESIGN</td>
<td>3/0</td>
<td>1/0</td>
<td>3/0</td>
<td>1/0</td>
<td>3/0</td>
<td>1/0</td>
</tr>
<tr>
<td>EDUCATION</td>
<td>2/0 (one T.O.)</td>
<td>8/1 (one T.O.)</td>
<td>2/0 (one T.O.)</td>
<td>8/0</td>
<td>2/0</td>
<td>8/1 (one T.O.)</td>
</tr>
<tr>
<td>ENGINEERING</td>
<td>5/1</td>
<td>4/0</td>
<td>5/1</td>
<td>4/0</td>
<td>5/1</td>
<td>4/0</td>
</tr>
<tr>
<td>FINE ARTS</td>
<td>4/0</td>
<td>4/0</td>
<td>4/0</td>
<td>4/0</td>
<td>4/0</td>
<td>4/0</td>
</tr>
<tr>
<td>GRADUATE SCHOOL</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
</tr>
<tr>
<td>HEALTH SCIENCES</td>
<td>1/0</td>
<td>3/0</td>
<td>1/0</td>
<td>3/0</td>
<td>1/0</td>
<td>3/0</td>
</tr>
<tr>
<td>LIBRARIES</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
</tr>
<tr>
<td>MEDICINE</td>
<td>6/0 (three T.O.)</td>
<td>58/0 (three T.O.)</td>
<td>6/0 (three T.O.)</td>
<td>58/0 (three T.O.)</td>
<td>6/0 (three T.O.)</td>
<td>57/2 (five T.O.) &amp; 1 tie vote</td>
</tr>
<tr>
<td>PHARMACY</td>
<td>1/0 (one T.O.)</td>
<td>4/0 (one T.O.)</td>
<td>1/0 (one T.O.)</td>
<td>4/0 (one T.O.)</td>
<td>1/0 (one T.O.)</td>
<td>4/0 (one T.O.)</td>
</tr>
<tr>
<td>PUBLIC HEALTH</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
<td>2/0</td>
</tr>
<tr>
<td>SOCIAL WORK</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
<td>1/0</td>
</tr>
</tbody>
</table>

*Sr. Lecturer promotion(s): Area Comm do not review  
T.O. (Tenure only)

Decisions through June 30, 2019
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: David W. Blackwell, Ph.D.
      Provost
Date: September 30, 2019
Subject: Appointment, Reappointment, Promotion, and Tenure Procedures for 2019-2020

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 kinds of 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 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.

Discipline-specific expectations are often articulated quantitatively and qualitatively (e.g., a scholarly book published by a reputable press, articles in top-tier journals, creative products, professional recognition through grants, invited presentations or performances, evidence of teaching excellence). By University regulation (GR VII E.3.c), all educational units in which faculty appointment is permitted have established statements for use in guiding evaluations for promotion and tenure, describing the evidences of activity in instruction, research and service that are appropriate to the field(s) represented in the unit (see Provost's Policy on the Inclusion of Unit Statements on Evidences).
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)
Guiding Documents

• Performance Review

• Procedures and AR 3:10
Guiding Documents

• University — Level criteria and evidences of activity based on your ‘title series’

• Department — Developed policy statements describing discipline-level evidences for promotion and tenure
Summary

• Standards for Promotion and Tenure
  • University, College and Department
• Department Review Processes
• College-Level Review Processes
• University-Level Review Processes
Process for P&T

You (Appointment DOE, Perf. Eval. Dossier) → Department Chair & Dept. Faculty → College → Univ. (Area Committee → Provost) → President → Board of Trustees
The P&T Timeline – For You!

We want YOU! To:

• Build your case – 5 years
• Work with department Chair to prepare your dossier – typically in Fall of your 5th year
• Reviews — during the next-to-last year of your probationary period

Typically dossiers due to deans in November
• Decisions – early May
Role of the Department Chair
Department Chair’s Responsibility...

• Clearly communicate departmental, college, and University standards to you – make transparent
• Assist you in identifying an academic mentor if needed
• Responsible for assembling the dossier
Role of Chair (Cont’d)

• Your Chair will/should:
  • Give you feedback on regular reviews
  • Help you prepare your dossier
  • Follow University P&T guidelines
  • Assemble P&T dossier on your behalf
  • Consult with appropriate dept. faculty
  • Contact external evaluators (min. 4 + 2)
  • Submit P&T dossier on your behalf
Chair’s Responsibility

...Mentor

- Structure work-life for success
  - Teaching and/or clinical assignment
  - Research assistance
  - Financial and resource support
  - Protected time
- Use fair informal and formal faculty reviews
- Meaningful annual review letters
Faculty Considerations in Year ONE

• First three months:
  • Understand Distribution of Effort (DOE)
  • What is DOE?
    • A UK metric to help you know what is expected of you in Teaching, Research and Service
  • Examine DOE and discuss specific expectations related to percent effort for each area — within 4 weeks.
  • Submit a written plan of action for scholarship goals — within first 6 weeks.
Faculty Considerations in Year ONE

First three months:

• Identify faculty with whom you are comfortable for mentorship
• Identify internal scholarship support systems
• Define your creative scholarship goals
Boyer’s Model of Scholarship

Discovery
• Original research that advanced knowledge

Integration
• Synthesis of information across disciplines, across topics within disciplines, or across time

Application/Engagement
• The sharing of academic knowledge with those outside of the academy

Teaching and Learning
• Systematic inquiry into student learning that advances the practice of teaching
Evaluation of Research/Scholarship

How will I be evaluated?
• Grants/Source/Funding
• PI status
• Quality of work (citation, quantity, type, placement, etc.)
• Editorial boards
• Opinion of internal and external evaluators
Role of Mentors

...Coaches and Sponsors
Coaches, Mentors and Sponsors

**Coach**
- Provides developmental guidance
- You and they drive the relationship

**Mentor**
- Source of professional guidance and advice
- You drive the relationship

**Sponsor**
- Someone who advocates for you when you need visibility
- They drive the relationship, usually working behind close doors
Selecting a Mentor

- Available for regular consultations and review of progress
- Knowledgeable of promotion & tenure process for your discipline
- Comfortable, honest communication
- Possible collaborator, but not always necessary
- Best if here at UK, but not absolutely essential
Scholarship Action Plan

Set SMART Goals
- Specific
- Measurable
- Attainable
- Relevant
- Time Bound

- Write it down
- Stick with it
- Don’t go it alone
Annual Faculty Development

• Codesign a process with mentor that works best
• Set your intentions for the semester with your mentor
• Review wins/obstacles and develop your next plan
• Communicate your wins and needs to your Chair and others
• Read the *Evidences for P&T*

*Learn to receive hard feedback*
Second- & Fourth-Year Reviews

• Teaching
  • Teaching portfolio (student evaluations, awards, student notes, innovations, observations)

• Research
  • Grant applications/grants funded when appropriate
  • Publications--authorship order (in some fields) and collaborators
  • Citations/Impact (as appropriate)
  • Other creative works
  • Ranking

• Service
  • Supporting documents or evaluations from service organization supervisor, colleagues, programs, etc.

Know the Rules of Engagement in Your Field/Department
Second- and Fourth-Year Reviews

• Tenured faculty conduct the review
• A written report with recommendations
  • Make sure you are clear on how report maps to the *Evidences for P&T*
• Review with your mentor
• Develop a plan to address areas of concern
Wish me luck. I'm off to get my performance review.

Have you been napping? You've got a bad case of keyboard face.

What's wrong with your face?

I have QWERTYitis. It's from working too hard.
Your Responsibilities
Success is Contagious

• Pick your co-authors, co-grant writers strategically
• Attend and present at the best conferences and universities
• Develop relationships with others within and outside UK
• Be a good colleague within and outside of UK
Putting Your Head Down and Working Hard is Not Going to Get you Where you Want to Go

• Associate with people who will tell you the truth, no matter how badly it hurts.
• Invest in the lives of others and allow them to invest in you.
• Get and keep your life outside of the academy in order.
• Learn from the mistakes of others.
• Write out a detailed plan for every aspect of your life. Revisit the plan frequently and work your plan.
• Step back, take a breath, pause, observe, strategize, think, plan.
Keep your Eyes Wide Open

• Know who the “power brokers” are in your department and college.
• In large departments your Division Chief/Head may need to let the Chair know how great you are.
• But the CHAIR is the one who can tip the balance when it comes to up-and-out time.
• Learn to market yourself...better yet, let someone else do that for you.
Be a Team Player...
Don’t Carry All the Water

• Be a good academic citizen but keep your eye on the prize.
• It will pay off in the end as long as you don’t let it swallow you up.
• Do your duty but be savvy.
We are in the Business of Learning

• Be willing to learn from everyone everywhere.
• Students, staff, colleagues, and patients can all teach you something new, so listen closely.
Summary Points

• Department Chair is critical to preparation and mentoring
• Department faculty identify the evidences of achievement within the discipline
• Follow department, college and University regulations
• Reflect at least annually on your progress and identify areas to improve
SEE WHAT’S Wildly Possible.