



# Faculty Development: Promotion and Tenure (P&T)

University of Kentucky

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# Workshop Outline

- University Regulations
  - Administrative Regulation
  - Tenure Process and Timeline
- Academic Area Advisory Committee Responsibilities
- College Procedures
  - Department Chair
  - College Committee
- Faculty Candidate Responsibility



# University Procedures

Heidi M. Anderson, Ph.D.

Associate Provost for Faculty Affairs

Office of Provost



# Myths About P&T

- When I was your age....
- I just got tenure, so here's how to do it...
- They don't read it, they just count stuff...
- Just keep pumping out stuff from your dissertation...
- Extension/engagement doesn't count, just research (and maybe teaching)....
- Administrators want to deny tenure whenever they can ...



# External Myths about P&T

- Public believes that “tenured faculty do not work very hard”
  - Legislatures,
  - Business entrepreneurs



# Guiding Documents

- Administrative Regulations (AR) II-1.0-1 procedures online
- Promotion & Tenure procedures
- These procedures are periodically revised to reflect recommendations of faculty committees and administrators for improving the effectiveness of the review process



# Guiding Documents

- Governing Regulations (GR) X-B.1.c  
Automatic Delay of Probationary  
Period
  - Procedures and form
    - [Application](#)
- [http://www.uky.edu/Provost/APFA/Promotion\\_Tenure/](http://www.uky.edu/Provost/APFA/Promotion_Tenure/)

# Guiding Documents

- Performance Review
  - Procedures and AR II-1.0-5
  - Promotion & Tenure





# Process for P & T

UK Board of Trustees

↓  
University (Provost and AREA Comm.)

↓  
College

↓  
Department

↓  
Your Appointment  
(DOE)





# The Promotion & Tenure Timeline– College Level

- Fall 2007 to Summer 2012 – Build your case
- Fall 2012 – Colleges preparation and review of dossiers
  - Internal Letters
  - External Letters
  - Department Votes
  - College P&T Committee Vote
- January 2013 – Dossiers due to Deans'

# The Promotion & Tenure Timeline– University Level

- March 2013 – AREA Committee
- April 2013 –Dean of Graduate School
- May 2013 – Provost recommendation to President
- June 2013 – Board of Trustees
- August 2013 – Promotion takes effect





# Promotion and Tenure Policies and Guidelines

- Separate sections of the AR pertains to:
  - Tenure-track Faculty Appointments
    - Regular, Extension, Special, Librarian
  - Non-tenured Faculty Appointments
    - Clinical, Research, Adjunct, Lecturer, Visiting, Voluntary, Part-time



# Promotion and Tenure Policies and Guidelines

## ○ Probationary Period

- Applies to non-tenured full-time faculty
- Shall not exceed 7 years unless:
  - Medical, Educational, Elected office Leaves
- Automatic Delay 
  - Parenthood
  - Request for family dependent-care
  - Tenure & Promotion Automatic Delay



# Criteria of Evaluation

- Teaching, advising and instructional activities
- Research and/or creative activity
- Professional, University and public service
- Engagement – forthcoming
- Refer to AR II-1.0-1 for details about each area based on title series



# Appeals

- Senate Advisory Committee on Privilege and Tenure (SCAPT)
  - Violations of:
    - Procedure
    - Privilege
    - Academic Freedom
  - Interpretation of Policies
  - Recommendations
  - Initiate 60 days after notification

# ● ● ● | Reduce the Risk of Appeal

- Establish clear, consistent, fair policies and procedures
- Make process transparent
- Assure equitable treatment of faculty







# Academic Area Advisory Committee

Catherine Martin, M.D.

Professor and Vice Chair for Research  
and EA Edwards Professor in Department  
of Psychiatry

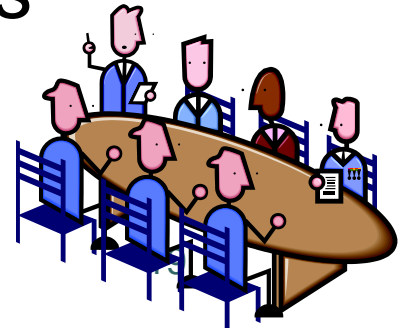


# Area Advisory Committee (Example: Medical Center – Clinical Sciences)

- KEY Word – Advisory – The recommendation goes to the Provost
- During past several years – extremely rare for Provost to not accept the recommendation of the Medical AREA Committee & typically it has been when evaluative measures were clouded

# AKA- Med Center Area Committee

- Committee is composed of Professors (not “Chairs or Deans”) representing the six Colleges of the traditional “Academic Med Center”
- Dentistry, Health Sciences, Medicine, Nursing, Pharmacy, & Public Health
- Appointed to two-year terms





# How it Functions

- Provides “advisement” to the Provost concerning appointment, promotion and tenure decisions for the six Colleges and a couple of “related areas”
- Typically meets each month of the year as faculty hires occur throughout the year and a ‘rolling” review of P/T is performed rather than more “compressed” format in other locations



# “Your Responsibility”

- To have collected pertinent materials during your years on faculty – which will document your success – Tell your story
- Assemble the dossier – use UK expected format – Don’t be superfluous BUT Tell your Story! – Paint the Picture
- Make it easy on the reader to find the materials that reflect your success



# How it Functions

- Your materials are then added to those generated from the College Administration and forwarded for review (e.g., description of the procedural steps, dept/college rules)
- Each Committee member then reviews the “Dossier”
- Most use a process of review and completes a comment sheet for discussion



# How it Functions

- Review Process
- Appointment letter
- Title Series and “expectations of letter”
- DOE’s & % of Effort & Annual Reviews (2/4 year when done)
- CV review, Dean’s Letter & College P&T
- External & Internal Letters, etc.

# How it Functions

- Comment Forms are compiled and the Total Committee sees “All” comments at the monthly Meeting
- Discussion is led/facilitated by the “Chair”
- Vote of all members (Y, N, abstain)  
Abstain if in Department or “linked”
- Majority of Time – very transparent







# When it gets difficult

- Appointment letter states expectations but the activities don't match
- DOE's don't reflect activities
- Annual Reviews are not consistent with other materials
- Special Title Series Re: Research/Scholarship
- Dean – Chair – Faculty Disagree



# Helpful Hints

- Organize to make it easy to read
- Follow the University Guidelines Related to dossier and required submissions
- Make the deadlines – Talk often with your Chair – Take to heart 2/4 year feedback as well as Annual Reviews
- Attempt to get a “great example” from Chair/Dean of a recent **successful** candidate in your Title Series



# Remember

- Area is **ADVISORY** – not ultimate decision maker
- If a negative Decision from Provost–specific appeal process is in the AR’s
- Area members can not discuss outcomes – Process & general recommendations but not actions or discussions



# CCTS Fall Conference Promotion and Tenure Workshop

Jimmi Hatton, Pharm.D., FCCM, FCCP  
Acting Chair, Department of Pharmacy  
Practice and Science



# Chairs Responsibility...

- Set high standards for department which align with College and University academic standards
- Hire individuals capable of meeting the standard or don't hire
- Clearly communicate standards to all faculty – make transparent



# Chairs Responsibility...

- Follow procedures in preparing the dossier
- Include department criteria and processes
- Work with candidate in selecting external evaluators



# Chairs Responsibility

## ...Mentor

- Structure work-life for success
  - Teaching assignment
  - Research assistance
  - Financial and resource support
  - Protection time
- Use fair informal and formal faculty reviews
- Meaningful annual review letters



# Elements of Scholarship

- Discovery
  - Creating or formulating knowledge regarding a particular subject
- Integration
  - “What does it mean”
  - Discovery + skill sets to formulate testable hypothesis
- Application
  - How is this knowledge best utilized in my discipline?
- Teaching
  - Evaluation of teaching activities for peer-review





# Faculty Considerations

- Year 1:
  - 1st three months:
    - 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
    - Identify internal scholarship support systems
      - Proposal Development Office
      - Office of Sponsored Project Administration
      - Office of Research Integrity
      - CCTS
      - Faculty Grants Programs
      - Research Support Programs
      - Intellectual Property & Commercialization



# Distribution of Effort Discussions

- Understand the University Metrics & timelines
  - Review information regarding Teaching Portfolio and consider how your effort in this area will be recorded for external and internal review
    - Special notice to “innovative” teaching methodology
- Know the expectations of your Chair and the metrics that will be used for assessment of your performance in each area
- How will “service” be defined & who will evaluate?
  - Patient Care/Resident training
    - Consider how will you integrate this into your scholarly goals or where if “fits’ on your DOE
  - National Activities – timing for engagement and extent
  - Discuss service appointments with Chair prior to accepting
- Reconcile the time required for meeting the expected output for the stated percent of effort
  - Example: 50% research but no funded grants yet and no protected time



# Distribution of Effort Discussions

- Research and Scholarship
  - How will this be evaluated?
    - Journal Impact Factors
    - Types of Publications
    - Grants/Source/Funding total
    - PI status-multiple PI's – Collaborative Interdisciplinary projects
    - Authorship Order
    - Number of papers vs. Quality of Papers?



# College Governance

- Review Procedures for Promotion and Tenure
- Understand “grievance” policies and options
- Understand AP&T function, process and membership



# Scholarship Plan of Action

- Identify deadlines for grants and abstracts for the upcoming year
  - Set up a realistic plan for submission
- Set a publication plan for year 1-
  - If no primary research completed:
    - Review article ?
    - Book chapter ?
      - Consider Time required and value added
      - Look for collaborators
- Suggest possible mentors for Chair to facilitate collaborations



# Selecting a Mentor

- Available for regular consultations and review of progress
- Knowledgeable of promotion & tenure process for your discipline
- Comfortable communication
- Possible collaborator but not always necessary

# Mentoring

- “When you see a turtle on top of a fencepost, you know he didn’t get there alone”





# Internal Support Systems

- Proposal Development Office
  - Focuses on pre-award stage of extramural funding
    - Search for funding options
    - Review proposal drafts
    - Descriptive info for UK resources
    - Selective writing of proposal sections
    - Link researchers with similar interests
  - Grant Deadlines/Grants Bulleting/PDO Report
  - Community of Science
  - Educational Programs
  - New Faculty Development Series – Research Day  
October 23, 2007 from 12:30-2:00 Alumni House





# Internal Support Systems

- Office of Sponsored Project Administration
  - Administers extramural grants and contracts awarded through the University of Kentucky Research Foundation.
  - Services are available to all University faculty and staff and include:
    - advice and assistance with budget preparation
    - other administrative requirements of proposals
    - review, negotiation and acceptance of awards
    - information regarding sponsor policies and regulations
    - preparation of subcontract documents.
  - University policy regarding soliciting and receiving sponsored projects is found in [AR II-1.0-3](#). OSPA also administers the Conflict of Interest policy ([AR II-4.0-4](#)).
  - Sponsored Project Information Files (SPIFi)



# Internal Support Systems

- Office of Research Integrity
  - ORI provides support for 7 federally mandated review committees:
    - four Medical and one Nonmedical Institutional Review Board (IRB)
    - the Institutional Animal Care and Use Committee (IACUC)
    - Radioactive Drug Research Committee (RDRC).
  - ORI also supports the institution in promoting ethical conduct of research and educating UK students and employees regarding research misconduct regulations, data ownership, and animal care regulations.
  - Authorship policy
  - Required education for research activities



# Internal Support Systems

- Center for Clinical and Translational Science
  - Provides centralized infrastructure consisting of key core facilities and services to help investigators, clinicians, and scholars access resources to become educated on the conduct of clinical research and provide support services needed for the conduct of high quality clinical and translational research.
  - These services will not end at the boundaries of the University of Kentucky campus, but will reach across the Commonwealth engaging greater partnership between the communities, industry, and the University.
  - The information on this website details many of these core facilities housed within the CCTS, with links to other services at the University of Kentucky including UKCRO



# Internal Support Systems

- Faculty Grants Programs
  - Research Support Grants
  - Service Center Pilot Grants
  - Major Research Equipment
  - Complex Research Grants
  - Faculty Research Enhancement Grants
  - Bridge Funding
  - Equipment Maintenance Program
  - Conference & Workshop Grants
  - Fellowships/Professorships



# Internal Support Systems

- Research Support Programs
  - Incentive Program
  - Enhancement Program
  - Research Activity Award
  - Faculty Start-up, Retention and Retraining



# Internal Support Systems

- IP & Commercialization

- What is IP?
- Who is the inventor?
- What do I do if I have an idea?
- What is the patent process?
- What is a “publication”
- Copyright, Trademark & Trade Secret
- Working with Industry
- Starting your own business
- Material Transfer Agreements



# Faculty Development: Year One

- Schedule meetings with a mentor – at least quarterly
- In May-June – review your progress in scholarship and obstacles encountered
- Design scholarship plan for upcoming year
  - Review with mentor
  - Submit to Chair



# Year 2

- Teaching
  - Should have evaluations and teaching examples for portfolio
  - Clinical teaching evaluations are very important and not automatic – find a system to track these if needed
- Service
  - Supporting documents or evaluations from service organization supervisor, colleague, programs etc
- Research
  - Grant applications/ grants funded
  - Publications- authorship order and collaborators
  - Citations/Impact?
  - Abstract/publication ratios
- Identify skill gaps and begin to build collaborations or propose a training plan to chair





## Year 2

- Your progress will be reviewed by the Tenured Faculty
- A written report with recommendations will be provided
  - Listen and Follow
- Engage your mentor for advice
- *If you have been doing things not showing up on paper, it is definitely time to stop and re-examine your time/effort balance*



# Year 3

- Re-examine your job responsibilities and how they are affecting your progress toward tenure
  - Make appointment with Chair and adjust obligations if needed
- Begin discussions of National activities
  - External letters will be needed
- All pre-appointment research activities should be in print
- Continue regular meetings with Mentor
- Some funding for research time via grants should be in place by now- if not- attend courses to develop your skills in this area
- Improve any deficits in teaching/show progress and effort to meet student concerns
- Your focus for national recognition should emerge



# Year 4

- Teaching
  - Examine and discuss teaching portfolio progress and materials
- Service
  - National activities will likely be increasing by this review
  - Get documentation of quality of services, presentations and evaluations
- Research/Scholarship
  - Quality and Quantity- need to be strong in this area by now-establishing a focused research area recognizable nationally as a developing expert



# Year 4

- Your progress will be reviewed by the Tenured Faculty
- A written report with recommendations will be provided
  - Listen and Follow
- Engage your mentor for advice
- *If you have been doing things not showing up on paper, it is past time to stop and re-examine your time/effort balance-NO Choice*



# Year 5

- This is it- basically – meet the metrics or begin thinking about alternative career options
- Continue submitting grants/papers
- Begin identifying national colleagues for consideration to submit letters of support on your behalf- do not contact them
- Consider students who might contribute letters of support regarding your teaching



# Year 6

- Final review for promotion with tenure
- Meet with Chair to submit dossier materials and names of contacts for letters of support and external review
- Continue to publish and submit grants
- Notify Chair of any and all updates to items already submitted in dossier e.g. successful grant funding, publications, awards, national recognitions etc



# Dossier Materials

- Letters

- Dean
- College Advisory Committee
- Chair
- Directors of Centers, Institutes or other departments
- Tenured faculty of same rank or higher
- Faculty outside department
- External – candidate and Chair recommendations
- Students



# Dossier Materials

- Performance Materials
  - Updated CV
  - Annual Evaluations since last promotion or appointment
  - Teaching Portfolio
  - Creative Productivity
  - Grants & Contract Information
  - Professional Status and Activity
  - University & Public Service Information





# Dossier Materials

- Administrative Information
  - APT Procedures
  - DOE since last promotion or appointment
  - Job description and Approval Letter (Special title series, only)
  - If Joint appointment, discussion of promotion plan with the Department Chair/Center Director is needed



# Promotion to Full Professor

- Appointment or promotion to full professor shall be made only after a candidate has met the criteria for associate professor and has demonstrated high scholarly achievements commensurate with his/her assignment in areas of:
  - teaching, advising, and other instructional activities;
  - research and other creative activity;
  - professional, university and public service.
- Particularly, such an appointment implies that, in the opinion of colleagues, the candidate's scholarship is excellent and, in addition, s/he has earned a high level of professional recognition.
- Where appropriate, this recognition should be on a national or international level in the field of assignment.
- ***It should be stressed further that this rank is in recognition of attainment rather than length of service.***
- If Academic Area Committee has not reviewed materials for promotion to higher rank for a period of six years, a written request to the Department Chair may be submitted requesting consideration in the seventh or subsequent year.

