

**PRELIMINARY EXECUTIVE SUMMARY REPORT
OF THE
FACULTY COMMITTEE ON REVIEW, REWARDS, AND RETENTION**

JUNE 2012

Faculty members are central to the University of Kentucky. Thus, it is essential that the University reaffirm its commitment to the professional development and satisfaction of its faculty. At the request of President Eli Capilouto and former Provost Kumble Subbaswamy, University Senate Council Chair Hollie Swanson convened a Committee on Review, Rewards, and Retention (“the Committee”) to address two key objectives:

- Review policies and procedures related to faculty evaluation, promotion, and tenure
- Define opportunities and incentives, aligned with university priorities, that hold the greatest potential to improve faculty satisfaction and overall outcomes for the University

In executing its charge, the Committee sought first to establish a fact-based understanding of current practices in place across the academic units of the University. Building on this understanding, the Committee then developed recommendations to facilitate career advancement, align incentives to further encourage sustained faculty development, and improve overall faculty satisfaction.

The Committee intends its work to represent the beginning of a broad and rich conversation among faculty, academic leaders, and administrators on issues related to faculty review and professional development. With this preliminary report, these stakeholders can engage in a substantive and collaborative dialogue, to be followed by the development and implementation of agreed-upon actions.

This report summarizes the Committee’s preliminary findings and suggested improvement directions and is organized as follows:

- I. Rationale, Objectives, and Activities**
- II. Preliminary Observations and Findings**
- III. Recommendations**
- IV. Next Steps**

This overview is supplemented by several companion documents including supporting appendices and a compendium of analyses and assessments.

I. RATIONALE, OBJECTIVES, AND ACTIVITIES

In the fall of 2011, President Capilouto asked a representative committee of administrators, faculty, and staff at the University of Kentucky to review the University's strategic position and identify opportunities to build on our strengths and achievements over the next decade. As an outcome of this work, the University Review Committee posed several strategic questions for consideration, including:

“How can the University better develop and retain faculty and staff talent?”

To respond to this broad question about faculty, the appointed head of this initiative, Hollie Swanson, asked for faculty volunteers from each of the colleges to join a committee to review current policy and procedures and identify potential improvement opportunities related to faculty activities. Collectively, those who volunteered represent a wide spectrum of academic life, including faculty from academic concentrations across campus (*Appendix A: Committee Membership*). As the Committee seats were not filled by representatives from each college, faculty interviews supplemented Committee meetings to surface improvement ideas and to provide a more comprehensive perspective of the faculty experience on campus.

To fulfill its charge, the Committee adopted a framework structured around three areas: criteria and expectations, performance review process, and professional development and accountability. According to this three-part framework, the Committee considered the following questions:

Criteria and Expectations

- What are the criteria for reviews of faculty performance?
- How do those criteria align with University priorities?
- How does UK recognize innovative efforts?

Performance Review Process

- How do colleges and departments currently conduct performance reviews?
- How do outcomes in the current performance review process align with rewards and salary adjustments?
- How do current processes help identify areas for professional development?

Professional Development and Accountability

- What professional development opportunities currently exist?
- How many units have formal mentoring programs?
- How do academic units assist faculty members in improving their performance?
- What mechanisms are in place to ensure that faculty members continue to contribute to the University at all stages of their careers?

To answer these questions, the Committee analyzed UK's current position relating to faculty review, rewards, and retention based on both internal and external views. From an internal

perspective, the Committee reviewed UK faculty data and solicited faculty feedback from multiple channels, including: open faculty forums, interviews with faculty representatives, and direct feedback through an anonymous comment box (*Appendix B: Excerpts from Faculty Comments*). To identify a sample of best practices, a group of five peer institutions was selected based on suggestions from Committee and faculty members (*Appendix C: Peer Institutions*). The Committee reviewed this comparative group for information on professional development, faculty affairs services, and post-tenure review practices. The Committee also analyzed the current higher education landscape to explore further how trends in academia may affect faculty activities (*Appendix D: Higher Education Trends*). Based on its findings, the Committee developed a list of strengths and weaknesses related to current practices (*Appendix E: Summary of Strengths and Challenges*).

Overall, the Committee held six meetings over a twelve-week period from March through May to review data, develop observations, and design preliminary recommendations. These meetings were highly participative and conducted as an ongoing discussion focused on identifying UK's strengths, challenges, and potential improvement directions related to faculty review, rewards, and retention. The President attended one of these meetings. At the direction of the Committee, Huron Consulting Group served as an extension of staff support, providing assistance in data gathering and analysis.

II. PRELIMINARY FINDINGS AND OBSERVATIONS

Recognizing the need for University-wide infrastructure to support faculty review and development, in 2007 former Provost Subbaswamy established the Office of the Associate Provost for Faculty Affairs. Since its inception, this office has worked to clarify and improve faculty review and tenure processes, especially at the assistant professor rank.

At forums, interviews, and Committee meetings, many faculty representatives expressed satisfaction with progress in this area and enthusiasm for the continued development of its service offerings. The Committee observes that the campus-wide collegiality and shared commitment to progress provide a strong foundation to continue to advance the University.

This section summarizes the Committee's information base and shares its key findings and observations. The Committee presents its preliminary findings in draft form, recognizing that a larger faculty dialogue is required as a critical next step. During the course of the review, three high-level themes emerged:

- **Inconsistency** – Based on a sample review of department practices, the Committee found that the processes used for review of all faculty and promotion for tenured faculty vary greatly across colleges. While examples of excellent practices exist, in other units the review criteria are unclear, the rating systems are not well articulated, and the connection to actual duties and rewards tenuous. Too often the quality of the review is dependent on the skills of individual unit administrators who receive little or no training or mentorship in how to conduct these reviews. These inconsistencies across campus result in unsatisfying review and development for many faculty members. The Committee explored two specific examples of process inconsistency:

- Inconsistent faculty review practices
- Variability in promotion from associate professor to full professor
- **Incomplete Review Process** – The current approach to faculty review and professional development is not comprehensive enough. Our current position assessment highlighted gaps in two representative areas:
 - Insufficient focus on evaluation of teaching
 - Limited attention to constructive post-tenure review
- **Insufficient Rewards and Resource Commitment** – There are several opportunities to more strategically identify, reward, and encourage excellent performance. Specifically, the Committee addressed the following areas:
 - Challenges in identifying and rewarding excellent performance
 - Inadequate attention to professional development

Inconsistency

Inconsistent Faculty Review Practices – Administrative regulation 3:10 (“AR 3:10”) outlines broad guidelines for faculty performance evaluations. For example, the regulation requires “both a quantitative assessment and qualitative judgment of the faculty member’s activities during the review period in teaching and advising, research and scholarship, University and public service, and other appropriate activities with relative weightings based on a prior agreement pertinent to the distribution of effort among any or all of these activities.” (AR 3:10).

Colleges and departments approach these guidelines differently, from setting criteria to the evaluation process itself. The Committee reviewed a sample of ten different departments’ review processes and gathered feedback from faculty to identify trends in the practices used in tenured faculty reviews. The most common format for faculty performance evaluations is every two years for tenured faculty conducted by a committee, using a five-point evaluation scale. Some departments, however, review tenured faculty on an annual basis. Among the sample group, four different point scales are in use, and whether reviews are conducted by a department chair, a committee, or the entire department is inconsistent by department. At the college level, and even at the department level in some colleges, criteria and procedures related to the review processes often bear little resemblance to one another.

As the policy requires, the Distribution of Effort (DOE) form is the basis for evaluations in most units, and the academic unit leader usually coordinates the evaluation process. AR 3:10 also requires faculty input in setting criteria, evaluating teaching, and determining guidelines for the DOE. As a broad observation, the extent to which units set expectations for using effort distributions typically lacks sufficient clarity and differs greatly across units.

The Committee observed that some colleges and departments have developed best practices. Examples include defining common effort distributions based on workload and adopting rating scales with clearly-articulated criteria to facilitate a more transparent review process. Certain units engage faculty committees to rank their peers, while others periodically review Endowed Chairs and Distinguished Professors, to ensure transparency and accountability at all ranks.

However, effective review practices are not uniformly adopted across academic units. Many faculty members at UK are subject to unclear criteria, limited transparency, and insufficient professional development opportunities. As a result, many faculty members view the current process as unproductive.

Variability in Promotion from Associate to Full Professor – To gain a stronger understanding of faculty career tracks at UK, the Committee reviewed institutional data related to average time-in-rank for tenured and tenure-track faculty by college. As demonstrated in *Appendix F: Supporting Charts and Analyses*, the range of time in rank differs significantly across colleges, with the greatest differences at the associate professor rank. Time-in-rank at this level ranges from three to 19 years, depending on college. The overall mean for current time-in-rank for associate professors at UK is 9.7 years (*Appendix F; Exhibit 1: Tenure/Tenure-Track Faculty Average Time-in-Rank by College*).

Further institutional data suggests that associate professors are retained at the highest rate of all ranks, at nearly 97 percent. The year-over-year retention of associate and assistant professors has increased in the past five years. The few associate professors who have left UK in the past three years cited other work opportunities as the most frequent reason for leaving (37%). However, the second-highest reason for separation was retirement (31%) (*Appendix F; Exhibit 2: Faculty Retention by Rank*).

The retention data suggest that many professors who reach the associate professor rank do not eventually progress to full professor. Due to differences across the University and a lack of broad institutional expectations, the clarity of criteria and the path to promotion to full professor depend on the culture of the academic unit. Some colleges and departments set an expectation of timely promotion after reaching associate professor. In these cases the proportion of full professors is usually very high, but this pattern is far from uniform.

In addition, data shows that compared to the peers reviewed, UK has a higher percentage of associate professors among all tenure-track faculty members (*Appendix F; Exhibit 3: Faculty Mix Compared to Peers*). Among the comparative group, some of the peer institutions clearly articulate University-wide requirements and timing expectations for promotion from associate to full professor. For example, the University of California, Davis, sets a guideline of six years at the associate rank.

Faculty feedback reinforced these findings. In terms of promotion and tenure, most faculty feel the process is clear and well-defined in the transition from assistant professor to associate professor. However, once one reaches associate professor, many faculty members feel that there is limited clarity and formality in the promotion and review processes.

Incomplete Review Process

Insufficient Focus on Evaluation of Teaching – As a component of faculty performance review, AR 3:10 requires the provision of a teaching portfolio, composed of a variety of materials related to teaching and advising, to inform the teaching evaluation. The policy mandates that this teaching portfolio include a brief reflective statement by the instructor, an overview of all courses taught for each semester under review, representative

course syllabi, and a quantitative and qualitative summary of student evaluations. The policy offers suggestions for additional review points, such as peer evaluations and indicators of student learning, but these assessment materials are viewed as optional and supplemental.

In practice, many colleges and departments rely only on student evaluations as an indicator of a faculty member's teaching performance. This is a particular issue for faculty members who are solely focused on instruction, such as lecturers. Most of the faculty members providing feedback felt that student evaluations, while an informative data point, should be only one of multiple tools used to evaluate teaching. Faculty members felt that a more sophisticated process is needed to fully recognize the breadth and depth of teaching-related activities. Supplemental practices may include classroom observations, review of grade distributions, peer review of course materials and teaching portfolios, and the incorporation of teaching innovation as criteria for performance evaluations. Many of these practices are suggested in AR 3:10, but are not frequently employed.

Other feedback concerning student course evaluations suggests that the current University-wide evaluation form lacks the flexibility to accurately reflect the quality of all types of courses. The current format is best suited to large lectures and may not adequately evaluate instruction for small seminar, laboratory, studio or on-line classes. Response rates also vary, with online evaluations having markedly lower rates than paper-based evaluations. Some units, however, have created incentives for students to complete online evaluations, resulting in substantially increased response rates. Units have also customized their own evaluations to better reflect their activities.

In terms of peer practices in higher education, four out of the five selected peer institutions have adopted online evaluation systems; however, these institutions have differed in the extent to which they have moved away from paper-based systems. Some give professors the option to choose which method they prefer, while others are entirely online.

The Committee feels that the importance of teaching should be elevated at the University, both in the review process and overall visibility.

While service plays a key role in the work of the faculty, it often is not well recognized. The Committee suggests that a system be developed to reward exemplary and distinguished service to the constituency of the commonwealth and the university.

Limited Attention to Constructive Post-Tenure Review – The faculty review process is the main source of evaluation, professional development, and feedback over the lifecycle of a tenured faculty member's career. At the post-tenure stage, the only milestone committee-based peer review is the process for promotion from associate to full professor.

AR 3:11 outlines the process to address tenured faculty members receiving successive unsatisfactory performance or 'merit' reviews in a 'significant area of work.' The purpose of this Consequential Review is to develop a professional improvement plan. This policy contributes to the common perception that post-tenure review is punitive and rarely used.

There is an opportunity to re-conceptualize post-tenure review to develop a more constructive process focused on merit and professional development. From a comparative

perspective, four of the five universities reviewed had a formal system of post-tenure review of faculty every three to five years. Practices at peer institutions exhibited a range in the level of intensity of the review process, including a full review similar to that of a promotion and tenure review as well as a less-intensive faculty-led committee review. For example, the University of North Carolina at Chapel Hill and the University of Wisconsin at Madison focus on providing periodic peer review to faculty after reaching tenure. The University of Virginia requires annual evaluations of all tenured faculty members. Comprehensive post-tenure review is used only in cases of consistent underperformance.

Practices at the University of California, Davis, and the University of Oregon link both rewards and development to the review process. Exceptional performers have the opportunity to receive salary adjustments, accelerated promotions, and additional resources for teaching or research. Unsatisfactory performance may result in reassignment of duties, reassignment of space, and discussion of career alternatives in addition to resources to support a professional improvement plan.

Insufficient Rewards and Resource Commitment

Challenges in Identifying and Rewarding Excellence – There is a common view that the University has a limited ability to increase salaries to reward strong performance. Moreover, there is a perception that the current annual review process results in limited differentiation and those outcomes are not linked with rewards and salary adjustments. Excellence in funded research is usually rewarded, but this does not extend to the research and innovation that result from other means of scholarship. In addition, teaching and service are not adequately factored into the process. Faculty members expressed concern that securing outside job offers is the most effective way to receive a substantive merit raise outside of promotion.

Compensation data supports interview feedback that some faculty salaries are less competitive and more compressed than peers. While salaries remain relatively competitive at the assistant professor rank within the comparative group, UK is at the bottom of all ranks for average faculty salary. In addition, salaries for full and associate professors are lower than most of UK's peers. Overall, the average range of salaries is much more compressed than at most institutions in a comparative group of peers (*Appendix F; Exhibit 4: Faculty Salary Compared to Peers*).

At UK, the Wethington Award financially rewards exemplary excellence in faculty research. Some faculty within departments supported by externally-funded research expressed satisfaction with this award. There are few comparable avenues to reward and recognize excellence in teaching, service, and research that does not qualify for the Wethington Award. Some departments have their own teaching awards, but many others lack the financial resources to adequately reward outstanding teachers.

From the Committee's perspective, all faculty members who contribute to excellence and innovation should be rewarded in a meaningful way. This should be done not only through reviews and salary increases, but also through non-monetary recognition.

Inadequate Attention to Professional Development – Faculty observed in interviews that there is limited focus on professional development, particularly at the associate and full professor rank. Perceptions exist on campus that professional development activities vary widely across colleges and departments, with some disciplines feeling comparatively underfunded in this area.

Among the academic units pursuing development and accountability activities, there are a number of innovative practices currently under way. Some of the more proactive colleges and departments have professional resources focused on faculty affairs, monthly professional development forums, and comprehensive formal mentoring programs, enabling faculty to more easily reach their full potential. However, this is not the case for all faculty members.

In the current environment, excellent practices are largely dependent on the individual leadership qualities and management skills of deans and department chairs. The Committee notes that there are few opportunities for these important academic leaders to receive ongoing training and mentorship in areas such as establishing effective review and promotion practices and cultivating faculty talent. In addition, there are few forums to share established best practices among peers.

From an external perspective, all of the peer institutions under review have offices dedicated to faculty affairs within the Office of the Provost. These offices usually serve dual purposes of human resource support for faculty as well as facilitating professional development. Service offerings are comparatively more robust at peers reviewed. For example, UK's Office of the Associate Provost for Faculty Affairs has limited resources and staff support relative to the comparative group. Among peers, these offices' service offerings typically include hearing faculty grievances and compensation issues, supporting the promotion and tenure processes, training for department chairs, supporting faculty performance reviews, facilitating mentoring programs, new faculty orientation, and faculty development workshops (e.g., leadership, teaching). The University of Kentucky shares with peers this dedication to faculty affairs and has devoted considerable effort to continue to grow in this area.

Summary

Through assessing UK's current position, the Committee finds that there are activities that the University should pursue to continue and accelerate its progress in faculty review, rewards, and retention. In particular, the University must address three significant areas: unclear criteria and expectations, poorly developed processes, and insufficient professional development. Based on our initial study of faculty-related data and with attention to faculty feedback, the Committee has developed a preliminary set of recommendations to support, promote, and reward faculty achievements.

III. RECOMMENDATIONS

The Committee's observations, and the fact base underlying them, provide the foundation for our recommendations directed toward better supporting the faculty and enabling faculty members to make a greater contribution to the University. We organize these recommendations into two categories: broad improvement directions and areas requiring additional evaluation.

Broad Improvement Directions – These improvement directions aim to address the key questions raised within the three-part framework adopted at the initiation of the Committee's work. Taken together, the recommendations help define a path for the University to continue its pursuit of excellence in education, research, service, and health care.

Criteria and Expectations

- **Clear Performance Review Criteria** – Establish clear and transparent performance review criteria and expectations that are connected to standards of promotion and university priorities. Faculty within all academic units should establish these standards for review. Criteria should be defined by the faculty being reviewed, aligned with policy, and tailored to specific sub-disciplines in ways that leverage faculty strengths. Unit administrators should be charged with an unrelenting commitment to implement them and should be supported by senior leaders.
- **Policy Review and Clarification** – Review and revise administrative regulations that govern faculty review (AR 3:10 and AR 3:11) to establish clear baseline expectations for review and promotion. Revisions to these policies should be written in language that is easy to understand and interpret without need for annual supplementary guidance. Particular attention should be given to general standards of promotion to full professor and criteria for satisfactory performance.
- **Evaluation of Distribution of Effort (DOE) Process** – Evaluate the effectiveness of DOE and determine if it adequately reflects faculty activities. This evaluative process should provide clarity on expectations and delineate the percentages of effort associated with different kinds of activities. It should also be used to identify opportunities to link expectations to University priorities and connect them in a meaningful way to unit-level plans.
- **Clear Alternative Tracks for Promotion** – Articulate the multiple pathways to advance to full professor, in alignment with AR 2:1, and reward excellent performance regardless of activity areas (i.e. scholarship, teaching, service, clinical, etc.). To the extent that alternative pathways are not available, clarify this with the faculty and encourage full professors to take on important, but non-advancing, activities that are currently fulfilled by associate professors.

Performance Review Process

- **Improved System for Evaluating and Rewarding Teaching** – Elevate the importance of teaching in the review and promotion process by establishing a meaningful reward system for excellent teaching. Develop a more robust evaluation system for teaching that expands beyond student review to include a mechanism for peer

reviews. This assessment data should be linked to other data available from sources such as the Office of Institutional Research and alumni. This improved evaluation system should provide appropriate flexibility to accommodate differences in course content and delivery as well as and provide a mechanism to recognize and reward excellent teaching.

- **Integrated Faculty Rewards System** – Create a reward system that is seamless and uses the existing review structure (or an improved structure) to “catch people doing good things” and reward them without the need for extra procedures and reviews. To achieve this objective, consideration for University awards should be integrated into the review process and automated based on review input and outcomes.
- **Compensation System Aligned to Excellence** – Reward excellent performance in each area through a compensation system that is transparent, well-defined, and primarily merit-based. To support efforts to enhance transparency, the units or colleges should articulate the rationale for, and provide clear explanations of, discretionary salary increases.
- **Proactive Post-tenure Review Process** – Define and clarify the post-tenure review process for faculty, with attention to developing clearer criteria and more long-range feedback for associate professors. This review process should allow relevant faculty to provide their perspectives. It should recognize successes as well as areas for improvement and professional development. In addition, the process should be proactive rather than punitive. It should present an opportunity to qualify for periodic, merit-based salary adjustments and other rewards for faculty with sustained track records of excellent performance.

Professional Development and Accountability

- **Expanded Professional Development Services** – Expand the breadth and depth of the Office of Faculty Affairs' service offerings to provide more robust professional development services. Examples include a formal mentoring program, performance improvement plans, and a wide array of readily-available professional-development resources.
- **Enhanced Faculty Administrator Accountability** – Enhance the level of accountability for faculty administrators. Examples include 360° reviews, clear expectations of responsibilities, transparent internal and external reviews. In addition, leadership training and development for Deans and Department Chairs on effective practices is needed to support faculty feedback and development.

Areas Requiring Additional Evaluation – To supplement our recommendations in these broad improvement directions, the Committee also developed recommendations for future study.

- **Consistency of Rating Scales** – Convene a group to study the rating scales used across colleges to evaluate faculty. The objective of this committee would be to develop recommendations about whether using a standardized scale and nomenclature that is consistent across the University and aligns with the ARs would be beneficial and, if so, what type of scale would best facilitate delivering on UK's mission.

- **Special Title Series and Non-Tenured Faculty Process Review** – During the course of the review, a number of specific issues related to the review and promotion of special title series, lecturers, and clinical faculty surfaced. For example, issues pertaining to both workload and evaluative criteria for clinical faculty require attention. The Committee understands that special title and non-tenured faculty are critical to the mission of the University, and we recognize that they are not addressed in this report. We suggest further study dedicated to the review and promotion practices for this group.
- **Defined Strategic Areas of Focus** – Identify a few select areas of focus or emphasis based on University priorities and designed to improve the faculty's efforts in either their educational and/or scholarly endeavors. Develop a plan, in consultation with the faculty, to pursue and invest in these strategic areas. Integrate these areas into criteria and expectations for the review process.
- **System for Capturing Work beyond the DOE** – Perform a study on the benefits and considerations of developing a computer-based system to more accurately and consistently record and report on faculty activities and the corresponding amount of time needed to complete these activities. This should be a balanced and sophisticated system that would address the manual processes used in many colleges and departments, but not contribute to unnecessary data entry or excessive tracking. This database system should be used as the single resource to populate the multiple databases that are currently in use and should allow crosstalk with all database systems to facilitate transparency and assessment of improvement directions.
- **Structure and Timing of Post-tenure Reviews** – Assess the appropriate structure and timeframe for post-tenure reviews, with attention to building a process which encourages professional development activities without creating excessive administrative requirements for faculty members.
- **Teaching Tradition for Faculty Administrators** – Establish a tradition for faculty administrators to teach undergraduate courses to elevate the importance of teaching and the undergraduate mission at the University. The Committee notes with appreciation that several UK administrators exemplify this practice.
- **Impact of College Size** – Examine all barriers to faculty advancement imposed by the relative size and number of colleges, such as the distribution of resources and mentoring opportunities.

In addition to the recommendations outlined above, the Committee also composed an illustrative list of innovative ideas for the University to explore (*Appendix G: Additional Ideas for Improvement*). This catalogue of potential enhancement activities reflects the vast potential at the University of Kentucky to continue to develop and adopt new entrepreneurial approaches to faculty review, rewards, and retention.

IV. NEXT STEPS

The University should begin a campus-wide conversation about these preliminary recommendations to solicit feedback from those with a professional interest and begin to review and revise the suggested improvement directions. In parallel, faculty, faculty administrators, and University leadership should initiate development of an implementation plan for the selected recommendations. Overall, this discussion should take place over a multi-month period to allow for a broad, rich, and iterative exchange across campus.

The Committee suggests the following next steps:

- **August – September:** Solicit feedback from faculty on this preliminary report and improvement directions.
- **October:** Reconvene as a Committee to make needed revisions to recommendations based on faculty feedback. The Committee should also identify opportunities to converge the recommendations with the improvement directions from other workgroups reports, such as the findings from the Research and Financial Systems Accountability workgroups. As a final work product, the Committee will develop an action plan to support recommendations, with a proposed implementation timeframe.
- **November:** Finalize the Committee's report and recommendations, and submit them to the President.

APPENDIX MATERIALS

Appendix A Committee Membership

Appendix B Excerpt from Faculty Comments

Appendix C Peer Institutions

Appendix D Higher Education Trends

Appendix E Summary of Strengths and Challenges

Appendix F Supporting Charts and Analyses

Exhibit 1: Tenure/Tenure-Track Faculty Average Time-in-Rank by College

Exhibit 2: Faculty Retention by Rank

Exhibit 3: Faculty Mix Compared to Peers

Exhibit 4: Faculty Salary Compared to Peers

Appendix G Additional Ideas for Improvement

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APPENDIX A COMMITTEE MEMBERSHIP

Hollie Swanson (Chair), Professor (ME/Molecular and Biomedical Pharmacology)

Stephanie Aken, Professor (LI)

Doug Andres, Professor (ME/Biochemistry)

Gail Brion, Professor (EN/Civil Engineering)

Tamara Brown, Associate Professor (AS/Psychology)

Richard Domek, Professor (FA/Music)

Brad Lee, Associate Professor (AG/Plant and Soil Sciences)

Carl Lee, Professor, (AS/Mathematics)

Catherine Martin, Professor (ME/Psychiatry)

Milena Minkova, Professor (AS/Modern and Classical Languages, Literatures and Cultures)

Debra Moser, Professor (NU)

Melissa Newman, Associate Professor (AG/Animal and Food Science)

Melanie Otis, Associate Professor (SW)

Peggy Piascik, Associate Professor (PH/Pharmacy Practice and Science)

John Thelin, Professor (ED/Educational Policy Studies and Evaluation)

Greg Wasilkowski, Professor (EN/Computer Sciences)

Richard Greissman, Assistant Provost (ex officio member)

Kaveh Tagavi, Professor (EN/Associate Dean) (ex officio member)

Ben Withers, Professor (FA/Chair, Department of Art) (ex officio member)

APPENDIX B EXCERPTS FROM FACULTY COMMENTS

Criteria and Expectations

“I think there should be more clarity regarding what outcomes are associated with performance. I also think, to an extent, that performance indicators need to be set high so that truly outstanding employees are the ones to be awarded/ acknowledged.”

“Merge DOE and performance evaluation. It makes no sense to separate them temporally.”

Promotion

“It might be helpful to ask some of our full professors about how they feel about ‘career associates.’ These are associate professors who, for a variety of reasons never move forward to full.”

Teaching and Learning

“I would appreciate more feedback, especially from the learners.... I really wish that each department could design its own faculty evaluations for learners that would be meaningful.”

“The Committee needs to figure out how to incorporate the creation and facilitation of new media, social media, and online communities of learning and practice into the guidelines.”

“We need to have a wider university conversation about “classroom success.”

“Evaluate teaching (and perhaps learning) beyond TCEs.”

“Evaluations should evaluate the time an instructor puts into a class – what is the content of the syllabus, the content of the lectures, what method the instructor uses to convey the information...”

Annual/Bi-Annual Review Process

“People need to be rewarded on a yearly basis, not once in several years.”

“I think biannual evaluations are reasonable, but could see needing more if a faculty member is deficient in an area. My primary concern is lack of reward and recognition for teaching and service...”

“The annual/biannual reviews should be taken seriously by all departments and colleges. They should provide accurate and detailed feedback to the faculty member on their performance and progress toward tenure.”

“I suggest an automatic point system: a) figure out what is important..., b) reward what you can actually measure..., c) weight what is important..., d) normalize the points for the increase

in salary. The key is that there are “hard parameters” to measure (dollars, hours, impact factors), not soft ones ... The other important key is to FOCUS on important things: if I glance at the distribution of efforts on my sheet, there is too much stuff that seems equally important, but is not.”

“I don’t want to undermine the importance of research, but it feels that UK’s commitment to research is disproportionate to teaching and service... I think the review process can serve an important role in rewarding excellence in these areas, but again, I see few outcomes associated with this process.”

“We receive our review in our mailbox. It is incumbent upon the faculty member to request a meeting. Nothing is done face-to-face. So, there is no opportunity to explain, to discuss, to be truly appreciated for one’s work. I would make face-to-face meetings mandatory.”

Post-Tenure Review

“Post-tenure review needs some teeth, especially in this budget climate.”

“I think a post-tenure review process that isn’t punitive or shaming might help. While it is important to identify problems and in some cases respond with consequences, I would like the system to include a mentoring focus.”

“Currently, professors as well as associate professors are evaluated on a 2 year cycle. The proposed change is to move professors to a 4 year cycle... Coincident with the 4-year performance evaluation, professors would have the option to be considered for advancement in rank with 5 separate ranks within full professor... Advancement in rank would be strictly merit based and time-in-rank would not be an acceptable rationale for advancement...”

Professional Development

“The FEMR process...is a careful process that assesses each aspect of the faculty’s job and identifies areas of strength and weakness. There are not really formal channels of faculty development, but there are informal ones – mentoring assignments, recommendations to go see CELT, etc.”

“At times it seems as if the faculty evaluation process is more of a formality than an actual guide to promote faculty improvement. During my faculty evaluations, my supervisor and I reflect upon my successes and areas of improvement, but I don’t particularly feel that it does a good job of promoting faculty improvement.”

“The current bi-annual review doesn’t seem to provide a very good context for encouraging professional development. It seems adversarial, so unproductive faculty may be reluctant to admit that they are struggling and seek help for fear of more consequences. This seems to cultivate defensiveness rather than openness to feedback.”

Alignment with Salary Adjustments and Rewards

“Increase transparency, recognize research achievements, and encourage service. The salary increase should be based on your achievements, not something else.”

“I believe that when there are no salary increases for more than 1 year than the evaluation process should consider all years of performance since the last year a salary increase was permitted by the University.

“Some process that involves a recommendation to by the Chair to the Dean (to adjust salaries based on performance), with freedom by the faculty member to appeal, would be a great help.”

“Definitely keep the Wethington system. It rewards our hard work. If you are going to reward teaching and service, start by taking these components seriously in tenure decisions.”

“The review system may identify accomplishments, but there are few tangible rewards. Given the current budget climate, there may have been limited resources to provide to productive faculty. Most rewards seem to be associated with research/scholarly productivity. For example, there are Wethington Awards to reward successful grant-writers, but there isn’t an equivalent for successful teachers or those who make significant service contributions.”

Leadership and Culture

“Regarding the faculty review process, it only works if you have a fair and knowledgeable chair.”

“...The culture of recognition and reward for academic excellence must be nurtured. “Academic excellence” as a goal is virtually never mentioned, but it deserves to be.”

APPENDIX C PEER INSTITUTIONS

Based on feedback from Committee members and faculty, the following peers were reviewed for information on post-tenure review and professional development practices.

- University of California, Davis
- University of Wisconsin, Madison
- University of North Carolina, Chapel Hill
- University of Oregon

The information collected on these peers was supplemented by information from the University of Virginia.

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APPENDIX D HIGHER EDUCATION TRENDS

The Committee studied broad trends in higher education with attention to how shifts in the environment may impact UK's approach to faculty review, rewards, and retention. Major trends focused on trends in teaching, research, resources and accountability.

Increasing Undergraduate Enrollment. The Committee found that undergraduate enrollment and graduation outcomes are increasing both at UK and the national level. This will translate into an increased need for teaching and instruction across the university. The number of first-time full-time freshmen at UK has grown 18% over the past 5 years and is projected to grow next year. With this in mind, UK must ensure that the teaching potential of the faculty at within all colleges is fully realized.

Technology and Teaching. The role of technology is expected to have an increased impact on the delivery of teaching, which highlights the need for professional development and training for faculty on effective practices in incorporating emerging technology in the classroom.

Changes in Federal Research. There are also shifts in federal and state funding to higher-education activities. Federal research funding is changing. The National Institute of Health (NIH) funding is projected to remain flat in 2013, while funding from other sponsors is variable. This will result in increased near-term competition for federal grants.

Declining State Appropriations. At the state level, appropriations are declining, which will limit the financial resources available to the University. Similar to nearly two-thirds of all states, the Commonwealth of Kentucky reduced state appropriations to higher education in the fiscal year of 2010. This trend is expected to continue.

Increased Expectation for Accountability. While state subsidies are in decline, public expectations for accountability are increasing. There is a greater interest in managing costs in higher education and an increased scrutiny of faculty review processes. State higher education systems in Texas and Utah have adopted policies of more frequent reviews and comprehensive post-tenure review, driven largely by state legislatures.

APPENDIX E SUMMARY OF STRENGTHS AND CHALLENGES

The Committee developed a list of strengths and challenges related to current practices related to faculty review, reward and recognition. The purpose of this list is to recognize practices that are effective in the current environment and identify primary challenges to address.

Strengths

- **Areas of Excellence** – During the course of the review, many examples of excellent review processes and innovative practices surfaced in certain colleges and academic departments across campus.
- **Respect for Academic Disciplines** – The current approach to annual/biannual faculty review allows colleges and academic departments to define specific review criteria and evidences to reflect academic disciplines.
- **Well-Understood and Transparent Review and Promotion Practices at the Assistant Professor Rank** – There is acknowledged improvement in practices supporting promotion and review at the assistant professor rank. These practices are described as structured, well-understood, and transparent.
- **Incentives for Excellence in Funded Research** – The Wethington Award was identified by many faculty members as an effective practice in recognizing and rewarding performance in funded research.
- **Unit-level Incentives for Excellence in Teaching** – In some colleges and academic departments across campus, awards are in place to reward excellent performance in teaching.
- **Climate for Change** – Many faculty interviewed and involved in the Committee have demonstrated a shared commitment to change in order to improve the overall effectiveness of the review and promotion process.

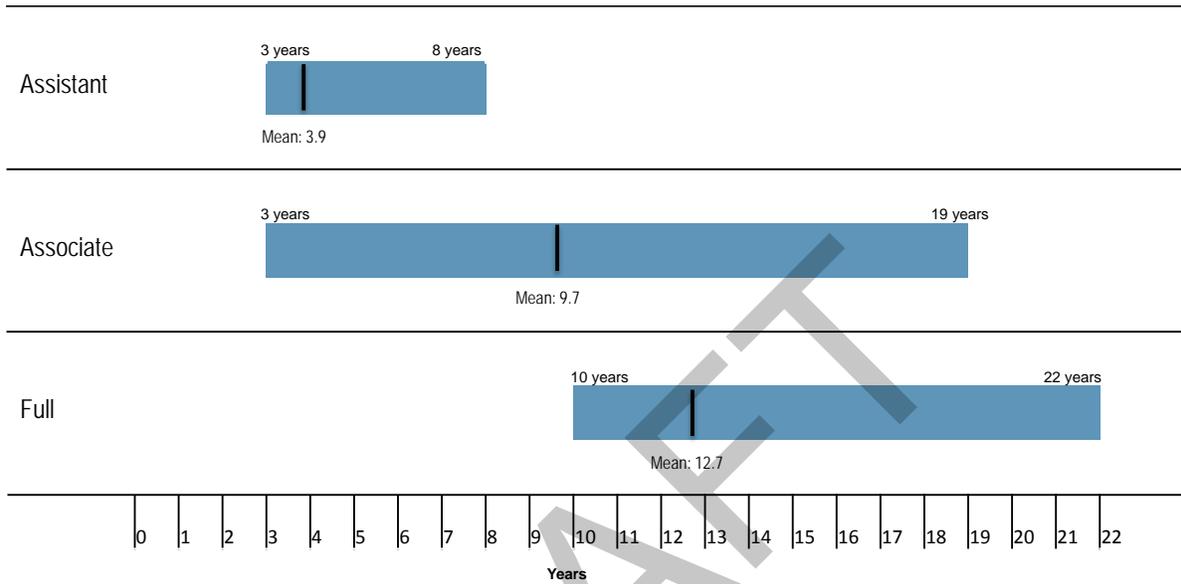
Challenges

- **Inconsistency** – Inconsistency in practices, scales, timing and criteria exists across campus. While excellent practices exist in some areas, the level of variability also results in a number of less developed practices in other colleges and academic departments.
- **Clarity of Expectations** – According to faculty interviews, not all academic units have clear, transparent and defined expectations to support the rating systems used in annual/bi-annual faculty reviews. In addition, the process of setting expectations through the distribution of effort process is not clear for all faculty members.
- **Professional Development** – In some colleges and academic departments, professional development is stressed as a key component of all aspects of the review process, including setting annual goals. However, this is not a commonly-adopted practice across campus.

- **Salary Compression** - Compared to peers, faculty salaries at UK are much more compressed. While UK is competitive with many peers at the assistant professor rank, UK trails peers in associate and full professor salaries.
- **Career Paths from Associate Professor to Full Professor** – Due to inconsistency of practices, the path and expectations to achieve promotion from associate to full professor are not clear in some academic units.
- **Career Paths at Full Professor** – At the full professor rank, there are few opportunities to receive substantive, merit-based recognition and rewards based on professional accomplishments. There are also few programs and structures to support transitions during the course of a career.
- **Unsatisfactory Performers** – Currently, few programs or intervention points are in place to proactively address unsatisfactory performers. In addition, there are few university-wide support mechanisms in place to support Deans and Department Chairs with the administrative requirements to address unsatisfactory performers.
- **Reviewing Teaching Performance** – Student input and review is considered a valuable point in the process of evaluating teaching performance. However, in many academic units, there is a heavy reliance on student evaluations to review teaching performance.
- **Rewards for Excellence in Teaching** – There are few substantive, university-wide opportunities for rewards and recognition for exceptional performance in teaching.
- **Multidisciplinary Initiatives** – There is no clear review structure and process for faculty involved in multidisciplinary research and other multidisciplinary initiatives.
- **Supporting Infrastructure** – There is limited infrastructure in place to support faculty professional development from a university-wide perspective. Supporting programs today are variable and offered at the college or academic department level.
- **Training and Communication** – There are few mechanisms in place to share excellent practices in faculty review and promotion among colleges and academic departments. In addition, limited training and development opportunities exist for both academic leaders and faculty on effective review and promotion practices.
- **Administrative Process** – Most of the administrative processes supporting promotion and review remain manual and paper-based. This requires additional administrative time from both the reviewed and reviewers involved.

**APPENDIX F
SUPPORTING CHARTS AND ANALYSES**

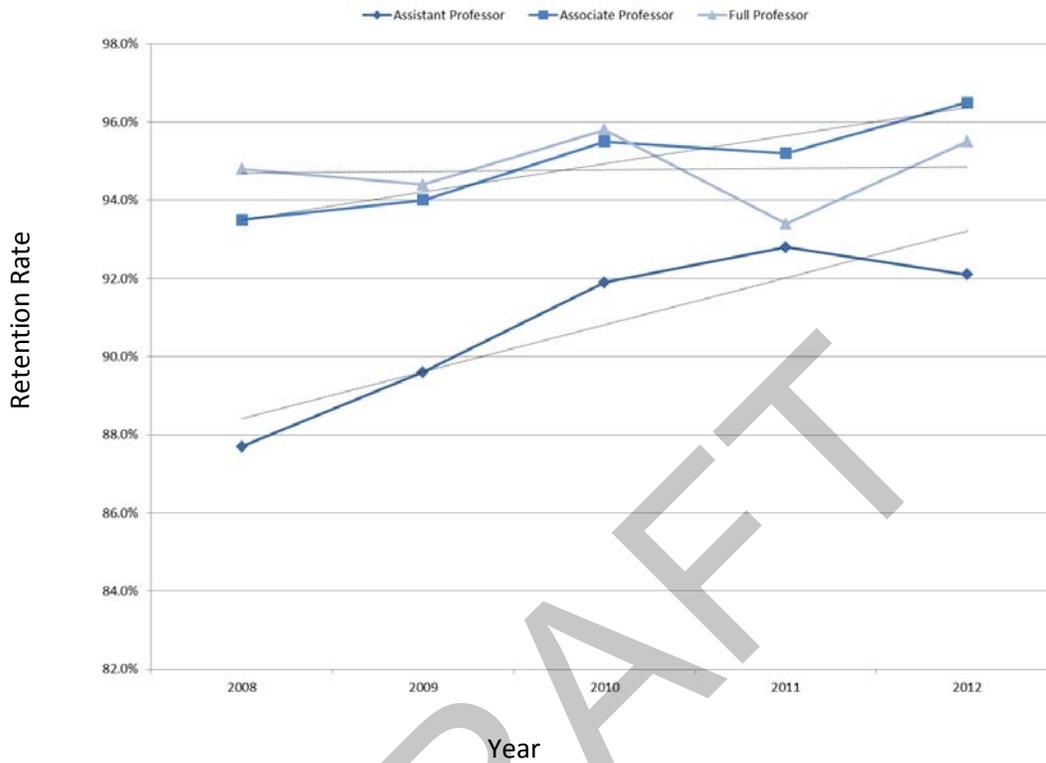
**Exhibit 1: Tenure/Tenure-Track Faculty Average Time-in-Rank by College
2010**



Data Source: UK Institutional Data, includes Regular, Extension and Special Title Series

This chart shows average time-in-rank by college. The ranges shown are ranges by college averages, lowest average time-in-rank to highest average time-in-rank. The university-wide mean is also shown.

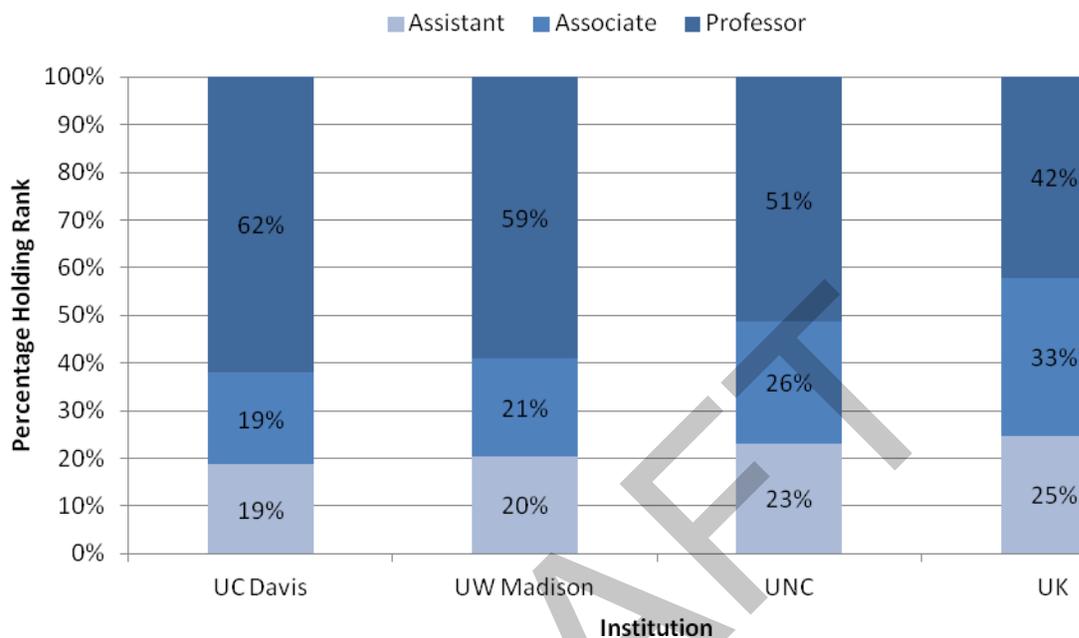
Exhibit 2: Faculty Retention by Rank 2008 to 2012



Data Source: UK Institutional Data

This chart presents year-over-year retention by rank based on available institutional data. In the past five years, retention of Assistant and Associate professors increased.

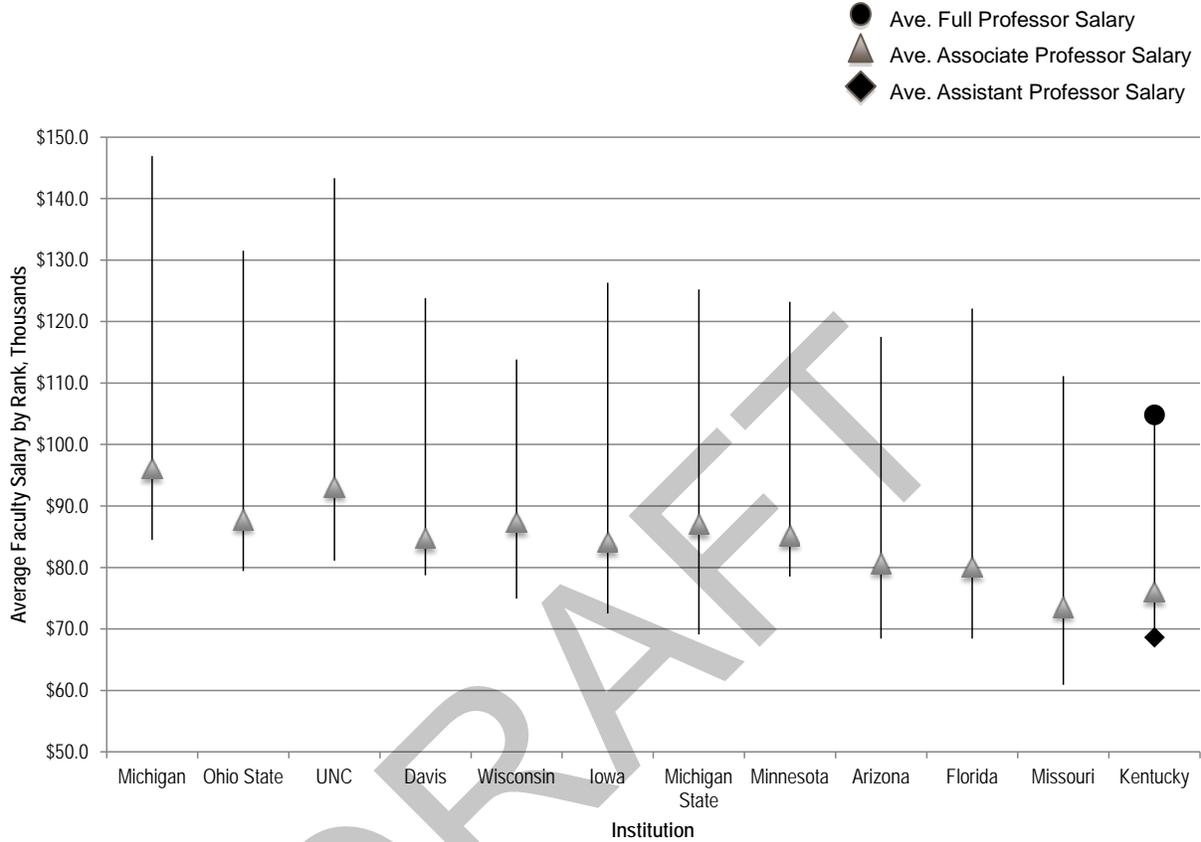
Exhibit 3: Faculty Mix Compared to Peers
Tenured/Tenure-Track Faculty Mix; Select Peers
2010 – 2011



Data Source: UK, Peer Institutional Data

This chart presents the mix of tenure/tenure-track faculty at UK and select peers. The chart shows for each institution, the percentage of all tenure/tenure-track professors holding the rank of assistant professor, associate professor and full professor. Institutional data for all peers selected by the Committee for comparative review of faculty promotion and review practices was not available.

Exhibit 4: Faculty Salary Compared to Peers
All Ranks Presented in Order of Average Salary
2010-2011



Data: Association of American University Professors, UK Institutional Data

This chart shows average faculty salaries at all ranks, comparing UK to a set of peer institutions identified by the University Review Committee. This chart originally appeared in the University Review Committee's report to the President in September 2011.

**APPENDIX G
ADDITIONAL IDEAS FOR IMPROVEMENT**

- **Enhance visibility and effectiveness of “Provost’s Teaching and Research Awards.”** There should be a requirement for the teaching award winners to collaboratively develop a project focused on enhancing teaching innovations campus-wide. Also, the Provost should host forums or symposiums with the teaching and research awardees as featured speakers. There should be a broadcast of interviews focused on the career paths and successes of our “best” teachers and researchers on UKNOW and KET.
- **Develop an “Emeritus Professor” program.** This program would be designed to foster a continued role between retired faculty members and the University community. Faculty members contemplating retirement would be provided with assistance in defining specific, yet limited responsibilities and opportunities that would align the needs of the institution with the expertise of the faculty member. This program could include a central campus-space dedicated solely for the use of Emeritus Faculty.
- **Establish a “Distinguished Faculty Academy.”** This academy would be comprised of faculty with distinguished scholarship in key areas such as teaching, entrepreneurship, applied research, community engagement and service, etc. These faculty members would provide consultation and improvement support, serving as a university-wide resource. Their expertise could be instrumental in redirecting faculty research interests towards areas such as commercialization of research ideas, translational clinical studies and engagement with UK’s community leaders.
- **Sponsor a university-wide technology fellowship for faculty with innovative ideas to advance technology use in the classroom.** This fellowship would include resources and graduate student support to implement ideas in course delivery and development of electronic course materials.
- **Highlight “areas of positive deviance” within the campus.** These would include units that exemplify best practices with respect to professional development and advancement.
- **Establish a campus-wide mentoring program.** This program would be coordinated with the Endowed Chairs, Endowed Professors and other professors with high distinction and would serve as a resource for all career stages and aspects of career development.
- **Enhanced Organizational Communication.** Multiple and deliberate pathways for systemic communication to ensure that information from faculty administrators (college and campus levels) reaches college faculties, and that innovative practices/policies developed within one college can be shared and adopted, as appropriate, across multiple colleges, if not across the University.
- **Sponsor a campus-wide teaching and research “sabbaticals”.** These sabbaticals would encourage cross-fertilization of best practices in teaching, research and professional development that are well established within specific units. Faculty members from different colleges would be assigned teaching and/or research activities

within appropriate departments of “host” colleges for varying lengths of time (6-12 months) to develop new professional skills.

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