

Combined AR Notes on Changes

Background

The workgroup on the Provost Area Administrative Regulations undertook a three-fold assignment:

- (1) To update the language in the Administrative Regulations (ARs) to reflect the move to a Provost Model and other relevant changes in the Governing Regulations;
- (2) To enhance the general readability of the documents; and,
- (3) To identify policies and procedures that might warrant review and possible revision.

Perhaps being the workgroup's most ambitious undertaking, the Combined AR aggregates within a single document the policies and procedures associated with faculty appointment, tenure and promotion and more generally academic employment, material currently found in AR II-1.0-1 Sections I-IV. The intent of this effort is to make readily available in one place the pertinent material on the faculty appointment, reappointment, appointment non-renewal, advancement and termination.

What follows is an annotated summary of the salient changes in policies and procedures.

A word on tracking

The distillation of four substantial sections of the ARs into one document rendered unworkable Microsoft WORD's tracking feature. This annotated summary identifies the substantive changes in policies and procedures that the workgroup identified and discussed with Provost Subbaswamy and with his concurrence incorporated into the accompanying draft document, the Combined AR. Those salient changes in the Combined AR are highlighted as insertions (blue/underlined) and deletions (red/strike-through).

The Combined AR AR II-1.0-1 Pages I-IV

-  AR II-1.0-10 (Recruitment and Selection of Faculty) has been incorporated into the introductory section of the Combined AR. Therefore the workgroup proposes that AR II-10.0-10 be slated for elimination.
-  As an economy of language, the workgroup has adopted the convention of

referring to academic departments, schools and divisions by the generic term “educational unit” (which is also the terminology now promulgated by the Governing Regulations), and the academic leaders of those units, whether department chair, school director or division chief, as educational unit administrator.

- ✚ The AR workgroup recommends that the specific policies and procedures for Lecturer Series faculty and Voluntary Title Series faculty (see citations in Combined AR sub-section II.B.1. - Criteria and Evidences of Activity), be codified within separate ARs, mirroring the practice already adopted for the other faculty title series.
- ✚ In sub-section III.D. (Consultation with the Faculty Candidate for Promotion or Tenure), the date by which an associate professor must notify his or her educational unit administrator of his or her intention to undergo a promotion review (the so-called “mandatory review”) has been changed from October 1 to September 1 to ensure that the college and central administration have sufficient time to complete the promotion review within the academic year in which the review has been initiated.
- ✚ The workgroup has created three matrices to assist the educational unit administrator and others in the conduct of tenure and/or promotion reviews. They are:
 - Appendix I – Matrix of Consultation and Written Judgments
 - Appendix II – Matrix of Required Dossier Contents
 - Appendix III – Matrix of Final Authority of the Dean
- ✚ In sub-section III.F.3., on a matter related to promotion and tenure dossiers, the minimum number of external letters from appropriately qualified persons external to the University has been increased from three (3) to six (6). Also, sub-sections III.F.3.(c), (d) and (g) have been added or revised to incorporate guidelines on external letters found in the annual *Provost’s Memo on Appointment, Promotion and Tenure*.
- ✚ In sub-section IV.A. (Completeness of the Dossier), language has been added to clarify what the dean must do if a promotion or tenure dossier forwarded to the dean’s office is found to be incomplete or non-compliant with established University or college policies.
- ✚ In sub-section V.A. (Completeness of the Dossier), language has been added to clarify what the Provost must do if a promotion or tenure dossier forwarded to the Provost’s Office is found to be incomplete or non-compliant with established University or college policies.

UNIVERSITY OF KENTUCKY ADMINISTRATIVE REGULATIONS	IDENTIFICATION AR II-1.0-1	PAGE I-IV
	DATE EFFECTIVE Mo/dd/07	SUPERSEDES REGULATION DATED 3/27/91, 8/20/92, 4/30/93 1/25/94, 11/24/95, 7/1/98, 8/18/98, 1/11/99, 7/27/00 (First issued 3/1/72)

Policies and Procedures for Faculty Appointment, Retention, Promotion and Tenure

I. Introduction

The University is a land grant institution with a three fold mission of instruction, research and service. It serves students and scholars across the Commonwealth of Kentucky and beyond its borders. The educational units, faculties, programs and students are heterogeneous. A goal of the University is to recruit, development, and retain an outstanding and diverse faculty.

The review required for promotion and the granting of tenure is a comprehensive review of both the candidate's accomplishments over the entire probationary period and his or her future scholarly potential. It is based on the criteria set out in the *Administrative Regulations* which require a consideration of information (e.g., the evaluations of external reviewers) which might not be available for the annual evaluations and tenure progress reviews that are covered by AR II-1.0-5.

These procedures and criteria have been developed for the purpose of continually upgrading the quality and performance of the faculty in order to enhance the quality of the University's programs and permit the University to achieve its mission.

Faculty appointments are with educational units and shall be of three basic types: (1) tenure-ineligible appointments; (2) tenured or tenure-eligible appointments; and (3) post-retirement appointments. (GR X.B.3.1)

Before selecting a faculty employee, each educational unit of the University must assure that:

- 1) a vacant position is identified and authorized subject to availability of funds.
- 2) the position is described, including minimum requirements.

- 3) the position is announced or advertised.
- 4) a screening process to select one or more finalists is utilized.
- 5) for finalists, employment and personal history inquiries are conducted.
- 6) one or more finalists are interviewed.
- 7) a recommendation for appointment is made, or, in the event that no recommendation is made; the search is re-opened or terminated.
- 8) the candidate selected is offered the position.

Applicable *Governing Regulations* and *Administrative Regulations* for appointments must be followed.

II. Source of Procedures and Criteria for Appointment and Advancement

A. Procedures

The procedures to be used in each educational unit for preparing recommendations for appointment, retention, promotion, and/or tenure shall be those established by the University, the college and the faculty of the educational unit. (GR VII.B.5). The University procedures are those established in the *Governing Regulations*, the *Administrative Regulations* and as may be further elaborated by the Provost. Procedures at the level of the college, in addition to those prescribed here, may be established by the Dean in consultation with the college faculty (GR VII.A.4). Additional procedures at the unit level are established jointly by the educational unit administrator and the faculty of the concerned educational unit (GR VII.A.6).

B. Criteria and Evidences of Activity

1. The University-level criteria and evidences of activity to be used in evaluations for appointment, retention, promotion or tenure for the various faculty title series are specified in various sections of the *Administrative Regulations* as indicated below:

- a) Regular Title Series – see AR II-1.0-1.V
- b) Extension Title Series – see AR II-1.0-1.VI
- c) Special Title Series – see AR II-1.0-1.VII

- d) Research Title Series – see AR II-1.0-1.VIII
- e) Clinical Title Series – see AR II-1.0-1.IX
- f) Librarian Title Series – see AR II-1.0-1.X
- g) Adjunct Title Series – see AR II-1.0-1.XI
- h) Emeritus Faculty – see sub-section (n) below
- i) Voluntary Title Series – Criteria for academic ranks of voluntary faculty shall be approved by the Provost (see AR II-1.0-1 Page XX)
- j) Lecturer Series – Unit criteria and evidences, and procedures for appointment, reappointment, promotion, and merit review of Lecturers shall be established by those educational units that employ full-time Lecturers. These unit-level criteria and evidences shall be submitted to the dean of the college for approval. (GR VII.A.6 and AR II-1.0-1 Page YY)
- k) Joint Appointments – The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment, retention or promotion recommendation should be processed independently and considered on its own merits. An individual's academic rank, though usually the same, may differ in the constituent appointments.
- l) Faculty Employees at Veterans Affairs and Other Similarly Affiliated Hospitals – UK faculty employees whose total efforts are in instruction, research and/or patient care programs shall be considered regular, full-time faculty employees of the University of Kentucky, with all rights and privileges of such faculty as described in the *Governing Regulations* even if their salaries are paid or reimbursed (partially or totally) by the Veterans Affairs or similarly approved hospitals or agencies (e.g., Cardinal Hill, Shriners, and Charter Ridge), as those hospitals and agencies are recommended by the EVPHA (in consultation with appropriate deans) to the President for approval. They shall be subject to the same administrative policies and procedures which apply to regular full-time faculty. Salary funding arrangements shall be defined by contract.
- m) Named Professorships – Individuals appointed to named professorships shall meet all criteria for the rank of Professor and

shall have acquired national recognition for excellence in instruction, research or service in their disciplines. While normally reserved for exceptional professors, a named professorship may be granted to an exceptional associate professor. Each named professorship will provide specifically identified resources for program support of a professor, and it is ordinarily expected that a significant portion of the compensation and program support allocations will come from endowment income or extramural gifts (see Section E.2. of AR II-1.2-3, "Policies Governing Private Funding of Academic Positions"). In exceptional circumstances (e.g., the recruitment or retention of a member of the National Academy of Science) named professorships may be submitted by the President to the Board of Trustees for approval for which funding may derive from revenue sources other than endowment income or extramural gifts.

n) Emeritus Faculty - Upon retirement, tenured faculty members shall retain their titles with the designation of "emeritus" (e.g., Professor Emeritus) and are entitled to the following rights and privileges: to be included in faculty lists in University bulletins and, upon request, to be provided a mailbox in the appropriate department; to be assigned office and/or laboratory space and furnished supplies for creative work (upon request, subject to availability and approval of the concerned educational unit); to have faculty library and email privileges; to apply for Research Committee grants and publication subsidies; to receive University identification cards; to receive parking privileges as specified in University Parking Regulations; to attend, without voting privileges, meetings of the University Senate; to participate, upon invitation, as non-voting members of departmental or college faculties; to use University recreational facilities upon presentation of suitable identification; to purchase tickets to athletic events with previous priority status; to hold membership in the University of Kentucky Credit Union; to make purchases at the University Bookstore at the employee discount rate; to participate in academic processions; to be appointed to represent the University at academic ceremonies at other institutions; to receive notices of University events; and to take part generally with the faculties in all social and ceremonial function of the University.

2. In addition to the above, each unit faculty may develop written policy statements describing the evidences of activity in instruction, research and service that are appropriate to their field(s), for use in guiding evaluations for promotion and tenure. The departmental statement is operative in the unit upon approval by the dean (GR

VII.A.6.c). If no such statements are approved for a unit, then only the specifications of the University level regulations shall be used for evaluation.

III. Procedural Steps Occurring at the Level of the Educational Unit

A. Initiating the Review Process

1. Recommendations for initial appointment, reappointment, terminal reappointment, joint appointment, post-retirement appointment, non-renewal of appointment, promotion and the granting of tenure, concerning faculty employees of any rank or title series, shall be initiated by the unit administrator.

2. Reviews for promotion or granting tenure must be completed in time for the affected faculty employee to be notified of the result in accordance with GR X.B.1(d).

3. During the second year at the rank of Instructor, the individual must be considered for promotion or terminal reappointment effective in the third year, unless the individual requests in writing that such not be done because of the individual's decision to resign or willingness to accept a terminal reappointment.

4. An assistant professor who is in the sixth or next-to-last year of a probationary period must be considered for promotion and tenure, unless the individual requests in writing that such consideration not be done because of the individual's decision to resign or willingness to accept a terminal reappointment.

5. An associate professor on appointment without tenure may be considered for tenure at any time prior to the next-to-last year of the stated probationary period. However, a tenure-eligible associate professor in the next-to-last year of a probationary period, or a professor in the first half of a one-year probationary period, must be considered for tenure at that respective specific time, unless the individual requests in writing that such not be done because of the individual's decision to resign or willingness to accept, as applicable, a terminal reappointment or a notice of non-renewal of appointment.

B. Consultations Conducted by the Educational Unit Administrator

Individuals who have defined or assigned administrative roles and participate in the decision-making at or above the level of unit administrator shall not be involved as consulted faculty employees in the educational unit in which they hold an academic appointment.

C. Consultation with Applicants and New Faculty

1. Either before or at the time of interview of an individual for a faculty appointment, the unit administrator shall inform the individual about those parts of the *Governing Regulations* and the *Administrative Regulations* that deal with appointment, promotion and tenure and shall provide access to these regulations as requested. At the time an appointment is tendered, an individual shall be informed in general terms regarding criteria for academic ranks by the educational unit administrator (AR II-1.0-1).

2. The educational unit administrator shall inform each new faculty employee (within one month of the beginning of his or her employment) of the existence and locations of the following University documents: (a) the *Governing Regulations*; (b) the *Administrative Regulations*; (c) the *University Senate Rules*, in particular the Faculty Code; (d) the rules and procedures of his or her college; (e) the rules and procedures of his or her educational unit; and (f) the *Student Rights and Responsibilities*. Access to any of these documents shall be provided by the unit administrator as requested.

D. Consultation with the Faculty Candidate for Promotion or Tenure

Prior to the initiation of a recommendation concerning tenure for an individual during next-to-last-year of a probationary period, the educational unit administrator shall consult with the faculty employee as to whether the individual waives the exercise and thereby stops the consideration. Any such waiver must be in writing to the dean and the dean will offer the individual a terminal reappointment. An assistant or associate professor with tenure whose promotion to a higher rank has not been considered by an Academic Area Advisory Committee for a period of six years may request such consideration by September 1 of the seventh or a subsequent year. The educational unit administrator shall make the individual aware of the option to submit such a request.

E. Assembly of the Dossier and the Standard Personnel File

1. The educational unit administrator is responsible for the assembly of a dossier associated with a faculty personnel recommendation. The dossier is prepared from materials in the Standard Personnel File (see below) and additional materials supplied by the educational unit administrator and faculty employee. The dossier contents necessary for most faculty personnel actions other than annual faculty performance review are specified in Appendix II: Matrix of Required Components Concerning Faculty Personnel Recommendations. In the preparation of a

joint appointment dossier, the unit administrator in the secondary department shall develop the dossier for the secondary appointment.

2. Written judgments or letters of reference obtained from consulted individuals internal or external to the unit shall be secured through the request of the educational unit administrator. Letters of reference obtained from persons suggested by the individual being evaluated shall be identified as such in the dossier by the educational unit administrator.

3. Pursuant to Kentucky Revised Statutes KRS 61.878, the written judgments or letters of reference of persons consulted in connection with appointments, promotions, and tenure decisions are not confidential. Thus the writers shall not be given assurances of confidentiality.

4. There shall be one Standard Personnel File maintained for each faculty employee. The Standard Personnel File contains the Notice of Academic Appointment and Assignment, curriculum vitae, the teaching credentials certification form and, if appropriate, the teaching credentials justification form, and transcripts of academic work leading to advanced degrees. This personnel file also contains many of the crucial materials, particularly evaluation materials, needed for or taken from the dossier, which are defined below. The file contains Distributions of Effort, faculty merit or other evaluation reports, evaluations prepared by committees and those of educational unit administrators, and all other professional evaluation reports. The file also contains materials related to responsibilities, which the faculty employee has to governmental or other agencies. The file contains regularly updated assessments of effectiveness in research, instruction, and service.

5. The Standard Personnel File shall be updated regularly and in particular completed by actions of the educational unit administrator, and also actions of the faculty employee. The faculty employee shall update his or her curriculum vitae annually and such other documents as he or she deems appropriate. The educational unit administrator shall update files as necessary to keep them reasonably current.

6. Unsolicited materials relevant to professional function may be included in the Standard Personnel File provided the faculty employee sees them and is offered the opportunity to document in this file his or her response to them.

7. The Standard Personnel File shall be kept in the office of the educational unit administrator, or in the office of the dean as deemed appropriate for each educational unit by the dean. No other Standard Personnel File shall be kept. The Standard Personnel File shall always be available to the faculty employee and to such other persons who he or she

authorizes in writing to see that file. The Standard Personnel File is of course always accessible to the educational unit administrator or higher administrative officer who is responsible for its maintenance and to such administrators superior to him or her who request access to the file.

8. The Standard Personnel File may contain communications to or from the faculty employee, solicited or unsolicited letters or memos relating to professional function, which are not relevant to consideration for promotion or award of tenure. These materials would be included in the dossier sent forward for consideration only if the faculty employee so requests. Unsolicited items received by the educational unit administrator may be placed in the dossier provided the faculty employee sees them and is offered the opportunity to insert his or her response into the dossier. No materials other than those described above and specified in Appendix II shall be incorporated into the contents of a faculty employee's dossier by the educational unit administrator or candidate.

F. Consultation with the Faculty in the Educational Unit

1. An educational unit administrator shall consult with appropriate faculty of the unit in preparing recommendations for initial appointments as delineated above, such consultation being in accordance with GR VII.B.5, second paragraph. (See also Appendix I to this Administrative Regulation: Matrix of Required Consultations and Written Judgments.)

2. All letters received from individuals external to the unit shall be made available to consulted faculty employees prior to their providing individual written judgments to the educational unit administrator regarding a recommendation for an initial appointment, or an initial a primary appointment in a joint appointment.

3. A promotion or tenure dossier shall include a minimum of ~~three-six~~ (6) letters of evaluation from qualified persons outside the University. Outside letters are crucial in tenure and promotion reviews. These following provisions apply:

a) The letters shall be obtained by the educational unit administrator directly from appropriately qualified persons selected in part from, and in part independent of, suggestions of the individual being considered for promotion or tenure.

b) At least three (3) of the letters shall come from reviewers selected by the educational unit administrator independent of the candidate.

c) The department faculty shall establish procedures to guide the selection process of those outside evaluators to be identified by the educational unit administrator independent of the candidate. Department faculties shall carefully consider factors that have the greatest bearing on the selection of external evaluations independent of the candidate.

d) Letters from scholars at research-oriented universities shall be given the most serious consideration. Where appropriate, letters from persons affiliated with prestigious institutes, centers or specialized schools may be included.

e) The letters shall be accompanied in the dossier by a written statement by the educational unit administrator indicating for each letter whether or not the name of the respondent had been suggested by the individual under consideration and, if known, whether or not the respondent had been a previous faculty colleague or similar scholarly associate of the individual.

f) The educational unit administrator shall request the outside evaluators to return their letters on a date prior to the unit administrator's meeting with or requesting letters of advice from the unit faculty employees to be consulted.

g) The educational unit administrator shall make available to the consulted faculty employees all letters received and expect them to read and consider these letters before providing individual written judgments to the educational unit administrator on a recommendation to promote to Associate Professor or Professor, or grant tenure. Letters from individuals external to the unit that are received after the date for submission of written judgments by the consulted faculty employees shall not be included in the dossier, nor otherwise used by any party in the evaluation of the candidate.

G. Recommendation of the Educational Unit Administrator to the College Dean

1. The educational unit administrator shall forward the completed dossier, including the educational unit administrator's recommendation, to the dean. Where disagreement occurs between the educational unit administrator and the consulted faculty employees concerning a recommendation, the educational unit administrator must report this difference with adequate documentation to the dean and also notify the consulted faculty employees regarding such action.

2. The educational unit administrator shall neither participate, nor submit a written judgement, in the capacity as a consulted faculty employee of the unit. Associate and assistant Deans, who in the capacity as a consulted faculty employee of the educational unit submit a written judgment to the educational unit administrator, shall not also participate in the deliberative process at the level of the college.

IV. Procedural Steps Occurring at the Level of the College

A. Completeness of the Dossier

The dean shall review the dossier for completeness (see Appendix II) and procedural compliance. If the dossier is not complete or procedurally compliant, the dean shall direct the educational unit administrator to secure the missing materials or establish procedural compliance and, as appropriate, to allow the consulted unit faculty to examine the new materials and contribute new consultative input to the educational unit administrator or to submit new written judgments.

B. Consultation with College Advisory Committee on Appointment, Retention, Promotion and Tenure

1. Each college shall have an advisory committee which is concerned with policy matters and individual cases related to faculty appointments, retention, promotion and tenure. It can be elected by the faculty, or established by the dean after consultation with an appropriate faculty body of the college that is identified by the college faculty in its College Rules document.

2. Prior to making a recommendation or decision on terminal reappointments or non-renewals of appointment, the dean shall provide the dossier to the committee and obtain its written advice.

3. The dean shall also obtain a written recommendation from the advisory committee when:

a) an assistant professor must be considered for promotion with tenure in the sixth or next-to-last year of the individual's probationary period;

b) an associate professor must be considered for tenure in the next-to-last year of a probationary period; or,

c) a professor must be considered for tenure in the first half of a one-year probationary period.

4. It is recommended that such advice also be sought for initial appointments at the associate professor or professor rank. Prior to making a decision to approve or disapprove or to making a recommendation, as appropriate, relative to a proposal to promote or grant tenure, the dean has the option (except as above) to seek a written recommendation from the college advisory committee.

5. A member of a college advisory committee or an Academic Area Advisory Committee shall be excluded from any participation in that committee's consideration of a recommendation initiating from the educational unit in which the faculty employee holds an academic appointment. They shall be expected to participate fully in the unit-level evaluation of those candidates.

C. Actions Taken by the Dean

1. The dean of a college shall make the final University decision to approve or disapprove a recommendation for those actions specified in Appendix III as being delegated to the dean's final authority. The dean shall inform the candidate in writing of the action taken, with a copy to the educational unit administrator, and as specified in Appendix III the dean shall communicate the action taken through the Provost to the President to be reported to the Board of Trustees.

2. If a dean disapproves an educational unit administrator's recommendation for reappointment at any rank and offers a terminal reappointment instead, but the tenured members of the unit faculty reaffirm their written judgment by majority vote and the educational unit administrator reaffirms his or her positive recommendation for reappointment, the Provost shall refer the matter to the pertinent Academic Area Advisory Committee.

3. In actions for which the dean is not delegated with final approval authority (see Appendix III), the dean shall obtain, as appropriate, the written recommendation from the college's advisory committee, and then act upon the recommendation from the unit. The dossier, including the dean's recommendation and any written recommendation of the college advisory committee, shall be forwarded to the Provost.

V. Procedural Steps Occurring at the Level of the Provost

A. Completeness of the Dossier

The Provost shall ensure that the dossier is complete and procedurally compliant (Appendix II). If the dossier is not complete or if there is procedural |

noncompliance, the Provost shall direct the dean to secure the missing materials or the procedural compliance and, as appropriate, to allow the consulted unit faculty, the educational unit administrator, the college advisory committee, and the dean to examine the materials and contribute new consultative input or to submit new written judgments or recommendations.

B. Recommendations from Academic Area Advisory Committee

1. Academic Area Advisory Committee

a) For cases involving tenure, or for either promotion to or initial appointment at the rank of Associate Professor or Professor, the Provost shall first obtain a written recommendation from the appropriate Academic Area Advisory Committee (hereafter, area committee). The area committee, however, may request the written advice of an ad hoc committee (appointed by the Provost) for further evaluation before returning the dossier with the ad hoc committee's written advice and the area committee's recommendation to the Provost.

b) For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and unit administrator's concurrence for reappointment, the Provost shall refer the matter, including the dossier, to the appropriate area committee (or to an *ad hoc* advisory committee appointed by the Provost for this purpose). The committee in its deliberations shall address itself to the individual's scholarly potential, ability as a teacher, and other professional qualifications indicative of a probable eventual tenured appointment and shall submit a written recommendation to the Provost.

C. Actions Taken by the Provost

1. The Provost shall make the final University decision to approve or disapprove a recommendation concerning Visiting Title Series faculty and promotion to Senior Lecturer. The Provost communicates approval through the President to the Board of Trustees and the substance of his or her final action (approval or disapproval) to the candidate in writing with a copy to the dean and the educational unit administrator.

2. For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit

administrator's concurrence for reappointment, the Provost will consider the dossier, including the recommendation of the area (or *ad hoc*) committee, and either approve the proposal for reappointment and report the action through the President to the Board of Trustees, or disapprove and stop the proposal and inform the candidate in writing with a copy to the dean and the educational unit administrator.

3) In actions for which the Provost is not delegated final approval authority (Appendix II), the Provost shall obtain any required recommendation from the area committee and then render a judgment. If the Provost concurs with the positive recommendation of the dean, the Provost shall forward the dossier, including his or her positive recommendation and any letters from the area committee, to the President. If the Provost disapproves the positive recommendation of the dean, the Provost shall stop the proposal and inform the candidate in writing, with a copy to the dean and the educational unit administrator. If the Provost concurs with the negative recommendation of the dean regarding promotion to Professor, the Provost shall inform the candidate in writing, with a copy to the dean and the educational unit administrator. If the Provost rejects the negative recommendation of the dean regarding promotion to Professor and decides to support the promotion, the Provost shall forward the dossier, including his or her positive recommendation and any letters from the area committee, to the President.

VI. Procedural Steps Occurring at the Level of the President

If a positive recommendation is forwarded to the President, the President will either approve the proposal and make a positive recommendation to the Board of Trustees for final action or disapprove and stop the proposal and inform the candidate in writing with copies to the Provost, dean and educational unit administrator.

VII. Procedural Steps Occurring at the Level of the Board of Trustees

A. The Board of Trustees shall take final action on the proposal by approving or disapproving the President's recommendation. The President, through the Provost, shall inform the candidate in writing of the Board's action with a copy to the dean and the educational unit administrator.

B. The Notice of Academic Appointment and Assignment form constitutes the official appointment record and contract. With the exception of salary the precise terms and conditions covering each appointment shall be stated in writing on that form. The contract, including salary, becomes final when it is approved by or reported to the Board of Trustees. Notice of reappointment for tenure-eligible faculty shall be in the possession of the appropriate administrative officers and the appointee at least three months before the renewed appointment begins, when

possible, or at the earliest date feasible in view of budget considerations. It is the responsibility of the Provost to insure compliance with this regulation.

C. Previous full-time service with the rank of Instructor or higher at another institution of higher learning may be counted as part of the probationary period as negotiated between the appointee and the dean prior to initial appointment. The ending date of the probationary period in a tenure-eligible appointment shall be indicated on the initial Notice of Academic Appointment and Assignment form and shall not exceed seven (7) years from date of initial appointment.

VIII. Procedural Steps in a Personnel Action Involving a Negative Recommendation

A. Whenever a recommendation is disapproved at any level, this fact shall be reported back to the preceding level(s) with supporting reasons and an opportunity provided for a thorough discussion of the recommendation among the concerned parties.

B. Any related appeal(s) to the Provost concerning procedural matters or privilege, or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom shall be initiated in writing by the faculty employee within sixty (60) days after being notified in writing of the disapproval of the recommendation to reappointment, promote or grant tenure. When such an appeal to the University Senate Advisory Committee on Privilege and Tenure has been initiated in writing by a faculty employee, the chairperson of the committee shall inform the appropriate educational unit administrator, dean and Provost of the development.

C. It is University policy not to provide written reasons in cases of non-renewal of appointment. However, upon the faculty employee's request, the dean of the college may meet with the faculty employee and discuss informally the circumstances surrounding the non-renewal. If the faculty employee is not satisfied with this conference, then, upon the faculty employee's request for a related conference, the Provost may meet with the faculty employee.

IX. Final Disposition of the Dossier

The dossier shall not be retained at the conclusion of the process leading to decisions about appointments, promotions or awards of tenure. Unless an appeal has been initiated by the faculty employee as specified above, the unit administrator after sixty (60) days of the receipt of the official notification of the final decision, shall return to the faculty employee the representative examples of research, scholarly and creative activity that were included in the dossier. The teaching portfolio, or teaching materials, and evidences of professional activity and the University/public service activities, submitted by the faculty employee, shall also be returned at that time. The Standard Personnel File shall

have the C.V. and all evaluative letters and reports or reviews that were contained in the dossier. If an appeal has been initiated, then the unit administrator shall maintain the dossier intact until the completion of the appeal process.

Categories of Candidates

Categories of Candidates

Descriptor of items required for candidate dossier - listed in column below (1-See note at end of list on pg. 3)	New temp. appt./ part-time faculty/ new lecturer/ post-retirement	New appt. tenure-track asst. prof./ instructor	New appt. tenure-track assoc. and full	Transfer of Academic Appt.	Re-appt.	Decision not to reappt. (non-renewal of contract)	Terminal appt./ terminal re-appt.	Promotion to Assistant Professor	Promotion to Assoc Prof.	Promotion to Full Prof.	Promotion to Senior Lecturer	Tenure
Educational Unit Administrator's recommendation	R	R	R	R	R	R	R	R	R	R	R	R
Request for review by Area Committee different from that specified in the ARs			O	O					O	O		O
Procedural steps for conducting tenure and/or promotion review			R	R				R	R	R	R	R
Approved description and criteria of special title series position or other assignment that differs from a faculty position in the regular title series		R	R	R	R	R	R	R	R	R		R
Copies of DOEs since the date of hire, tenuring or most recent promotion				R	R	R	R	R	R	R	R	R
Copies of faculty merit reviews since the date of hire, tenuring or most recent promotion				R	R	R	R	R	R	R	R	R
Copies of all tenure progress reviews conducted by the department				R	R	R	R	R	R			R
Approved unit statements, if any, for use in guiding evaluations for promotion and tenure			R	R	R	R	R	R	R	R		R
List of evaluators outside UK selected independently by unit administrator			R	R					R	R		R

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Categories of Candidates

Categories of Candidates

Descriptor of items required for candidate dossier - listed in column below (1-See note at end of list on pg. 3)	New temp. appt./ part-time faculty/ new lecturer/ post-retirement	New appt. tenure-track asst. prof./ instructor	New appt. tenure-track assoc. and full	Transfer of Academic Appt.	Re-appt.	Decision not to reappt. (non-renewal of contract)	Terminal appt./ terminal re-appt.	Promotion to Assistant Professor	Promotion to Assoc Prof.	Promotion to Full Prof.	Promotion to Senior Lecturer	Tenure
Credentials from evaluators outside UK			R	R					R	R		R
Letters from evaluators outside UK		R	R	R					R	R		R
Roster of unit faculty and their academic rank		R	R	R		R	R	R	R	R	R	R
Letters from appropriate unit faculty	C	R	R	R	C	R	R	R	R	R	R	R
Written evaluations of candidate by individual graduate students				R				R	R	R		R
Written evaluations of candidate by undergraduate student group, where appropriate												
Written evaluations of candidate by professional or graduate student group, where appropriate				R				R	R	R	R	R

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Categories of Candidates

Categories of Candidates

Required items in candidate dossier - listed in column below (1-See note at end of list on pg. 3)	New temp. appt./ part-time faculty/ new lecturer/ post-retirement	New appt. tenure-track asst. prof./ instructor	New appt. tenure-track assoc. and full	Transfer of Academic Appt.	Re-appt.	Decision not to reappt. (non-renewal of contract)	Terminal appt./ terminal re-appt.	Promotion to Assistant Professor	Promotion to Assoc Prof.	Promotion to Full Prof.	Promotion to Senior Lecturer	Tenure
Up-to-date curriculum vitae	R	R	R	R	R	R	R	R	R	R	R	R
List of evaluators outside UK suggested by candidate			R	R					R	R		R
Candidate's personal statement on research			R	R	R	R	R	R	R	R		R
Candidate's research materials			R	R	R	R	R	R	R	R		R
Candidate's teaching portfolio and other documents related to teaching			R	R	R	R	R	R	R	R	R	R
Candidate's personal statement on service			R	R	R	R	R	R	R	R		R
Candidate's service materials			R	R	R	R	R	R	R	R		R

Notes

1 The Standard Personnel File may contain communications to or from the faculty employee, solicited or unsolicited letters or memos relating to professional function, which are not relevant to consideration for promotion or award of tenure. These materials would be included in the dossier sent forward for consideration only if the faculty employee so requests. Unsolicited items received by the educational unit administrator may be placed in the dossier provided the faculty employee sees them and is offered the opportunity to document his/her response. No materials other than those described in AR II and specified in this matrix shall be incorporated into the contents of a faculty employee's dossier.

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