

EXECUTIVE SUMMARY REPORT
OF THE
FACULTY COMMITTEE ON REVIEW, REWARDS, AND RETENTION
November 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 and Service** – 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. Similarly, processes for evaluating and rewarding service to the institution and community need to be improved.

- **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 for Faculty Advancement' 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 interplay 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.
- **Encourage and Reward Collaboration in all Disciplines**–Revise administrative regulations that govern faculty review to support and encourage collaborative efforts. The Committee recognizes that faculty work in all areas (i.e., research/scholarship, education and service) is becoming more collaborative and interdisciplinary. The metrics described in *Appendix G (Recognizing Collaborative Efforts: Team Science)* is presented as a suggested starting point for initiating these discussions.

In addition to the recommendations outlined above, the Committee also composed an illustrative list of innovative ideas for the University to explore (*Appendix H: 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. Recommendations for Implementation

The Committee recommends the following steps to be taking for implementation.

- **Faculty Advisory Committee-** An advisory committee should be formed that is composed of representatives of all colleges and a five-member executive committee. The charge of this committee is to work closely with the Provost and Associate Provost for Faculty Advancement to ensure timely and appropriate implementation of the Committee's recommendations.
- **Proposed Implementation Timeframe-** The Committee has developed a three-year timeframe as illustrated in the following table.

Timeline for Completion of the Committee's Recommendations

	2013	2014	2015
	(Year 1)	(Year 2)	(Year 3)
1. Clear Performance Review Criteria			
a. Faculty within units will establish standards for review	→		
b. Unit administrators will implement standards		→	
2. Policy Review and Clarification			
a. AR 3:10 and AR 3:11 will be revised by AR/GR committee and vetted campus-wide	→	→	
3. Evaluation of DOE Process			
a. Units will evaluate effectiveness of DOE	→		
b. Unit and university-wide administrators will identify links to university priorities	→		
c. The Provost and Associate Provost will initiate university-wide discussions to address DOE-related issues		→	
4. Clear Alternative Tracks for Promotion			
a. Working with faculty leaders and unit administrators, the Provost and Associate Provost will articulate alternative tracks for promotion		→	
5. Improved System for Evaluating and Rewarding Teaching/Service			
a. Working with faculty leaders and unit administrators, the Provost and Associate Provost will develop a university-wide peer evaluative system		→	
b. Working with faculty leaders and unit administrators, the Provost and Associate Provost will develop a process for rewarding outstanding service			→
c. The Provost and Associate Provost will establish a university-wide reward system for excellent teaching/service			→
6. Integrated Faculty Rewards System			
a. Working with faculty leaders and unit administrators, the Provost and Associate Provost will develop a rewards system that is fully integrated with faculty reviews.		→	
7. Compensation System Aligned to Excellence			
a. Working with faculty leaders and unit administrators, the Provost and Associate Provost will ensure that compensation in all units is merit-based	→	→	→
b. Unit and college administrators will provide clear explanations for discretionary salary increases	→	→	→
8. Proactive Post-tenure Review Process			
a. Working with faculty leaders and unit administrators, the Provost and Associate Provost will define a post-tenure review process that is proactive and developmental.		→	→
b. The Provost will develop and implement a process for periodically rewarding faculty with sustained track records of excellent performance	→	→	→
9. Expanded Professional Development Services			
a. The Associate Provost will provide expanded support and training for unit administrators			
b. The Associate Provost will develop a mentoring program for unit administrators and faculty	→		
c. The Associate Provost will develop a "Teaching Fellows" cohort who will mentor and peer evaluate faculty		→	
10. Enhanced Faculty Administrator Accountability			
a. The unit administrators and Provost will develop and implement an administrator evaluative system that incorporates 360° feedback in a transparent manner		→	
b. The unit administrators and Provost will develop metrics that pertain to unit success to be used for administrator evaluations		→	

APPENDIX MATERIALS

- Appendix A Committee Membership
- Appendix B Feedback (Summer and Fall 2012)
- 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 Recognizing Collaborative Activities: Team Science
- Appendix H Additional Ideas for Improvement

**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
Feedback (Summer/Fall 2012)

1. To be brief my most important comment on the report and on the “philosophy” inherent in it:

- a. there is no concept of force-ranked priorities that I could glean from the document; and
- b. Until forced ranking is used throughout UKY I do not see how meaningful progress can be made by in review, rewards, and retention of faculty.

Magnifying the importance of your work is the hugely more resources involved in the UKY ecosystem versus Lexington alone.

In other words, the more sustainably UKY moves forward on a path of excellence, the vastly more Lexington and UKY are benefited.

2. In response to the email below, as a new faculty member (College of A&S) I echo sentiments expressed in the Huron report. Face-to-face and standardized annual faculty evaluations with mentoring programs are very useful. Recognition of teaching efforts and teaching innovation techniques are also very helpful in retaining faculty.

I taught healthcare professionals for many years before only recently, starting to teach undergraduates at UK. I quickly recognized that teaching adults is vastly different from teaching freshmen. I firmly believe that I received favorable responses from students, in part because of advice received from CELT (Kathy Kern and Kathryn Cunningham).

I sure hope that UK has a platform already in place, for individuals with high student evaluations to share their experience and techniques, so we can learn. Also, when I worked for a pharmaceutical company, “spot awards” were very useful in recognizing and retaining talent.

3. I am writing this email in response the email requesting suggestions from President Capilouto. As both of you know in order to take down barriers you must first know your opposition. I was made aware of this when I came to work at UK 11 years ago. My background is in banking and the military. Both of which possessed something that the University system did not. Inherently Universities are set up to be think tanks. Because of this, there is a great deal of room for interpretation by the Colleges, Departments and Divisions concerning policies and procedures of the University. This is evident in financial matters. In the banking and the military the financial regulations are communicated and taught in a manner that leaves no room for interpretation. Being influenced by my background, this is how I would address each fundamental question:

- a. From the standpoint the current budget doesn't take in to account the revenue streams of the university in their accounting system. The university needs to review the forms of revenue that are received revise the current system to allow entry for all revenue and expenses. Only then will you be able to get a good analysis of revenue and expenses and be able to set financial missions and goals. Part of the problem is the disconnect between the current account managers and their internal customers (faculty and staff). They need to be more sensitive to the needs of their customers. Once this is complete you only then can you evaluate what areas can be deleted, changed and combined to streamline and save money.
- b. As a basic principle employees need to feel appreciated and valued. This is the main thing that employees as human beings strive for. There are many ways to appreciate

employees, the most obvious be pay and benefits. I feel the most important is getting buy in from employees by listening at what they have to say and being empathetic to their cause. This may also mean fostering their needs. Unfortunately there are great deal of authoritarian managers who refuse to listen to what the employee is says and continues to make situation more difficult. If you add on increased workload due to layoffs, you make for a very unhappy workforce. You must also review everyone's status and make sure they are getting paid what they are worth. Everyone needs defined job responsibilities. Performance evaluations need to be set up in a way that preferential treatment doesn't happen. With the recent round of deletions and cutbacks, everyone's job has been morphed into an unrecognizable group of responsibilities. If departments can't afford to pay people what they are worth then create an environment where time off is not treated as an inconvenience.

c. Happy employees = more involved and empowered instructors. This makes students want to attend your institution and gives parents the assurance they are paying for a well planned and executed education for their child. Foster innovation. Creating a buzz surrounding the institution is the key to getting colleagues, donors and policymakers that the students want to attend UK and that there is a need to fund our institution and it's goals. You also need to make sure that their efforts are recognized not by personal gain, but by producing students that have had such a wonderful experience at UK that they want to stay, live and work in Kentucky. They will in turn generate support and income for the state and people of Kentucky, and the University.

d. By reviewing jobs and setting specific responsibilities for employees you can align educational, financial and personal goals for each College, Department and Division that is more in line with the Goals of the University as a whole. One way of doing this is streamlining the paperwork for each department. Considering that most paperwork is needed for financial or accreditation purposes, one thing important step would be setting up a repository of paperwork online that includes clear concise instructions along with the form and making these more accessible online. Delete and combine duplicate efforts. That UK website is a mess and a reflection of how separate all areas of UK are.

There is no room for interpretation for policy and procedures. Whether it applies to finances or how employees are treated. I am sending this to all leaders as a group as all areas need to build off of each other and there needs to be synergy around each group and to avoid counter intuitively work against each other.

4. In glancing over this report there is no mention of Ph.D. level research staff. There are a lot of them on campus particularly at CAER and elsewhere. Many of the issues raised in the report for Faculty, amongst others, are shared by them. At first glance at the report, they are not even mentioned, thus illustrating part of the problem. I could be wrong, I have not had the time to read the whole thing.

5. From a healthcare perspective, I think it is very important to evaluate who management people are in each department or U.K facility. For instance, Ambulatory Clinics seem to be off of the radar. Communication is hard to get in such a big institution. Staff do not always get the information they need. The only way we receive it sometimes is through our management people. When management does their part it makes for a more efficient work environment for staff. In my opinion we need to keep Management should be kept in check as well as staff. We need leaders who care and appreciate their staff. Thank you for giving me this opportunity to give my opinion.

6. In response to the email below, as a new faculty member (College of A&S) I echo sentiments expressed in the Huron report. Face-to-face and standardized annual faculty evaluations with mentoring programs are very useful. Recognition of teaching efforts and teaching innovation techniques are also very helpful in retaining faculty. I taught healthcare professionals for many years before only recently, starting to teach undergraduates at UK. I quickly recognized that teaching adults is vastly different from teaching freshmen. I firmly believe that I received favorable responses from students, in part because of advice received from CELT (Kathy Kern and Kathryn Cunningham).

7. I sure hope that UK has a platform already in place, for individuals with high student evaluations to share their experience and techniques, so we can learn. Also, when I worked for a pharmaceutical company, "spot awards" were very useful in recognizing and retaining talent.

8. Hopefully, I am addressing my comments to the correct action officer. If not, please forward them to the correct one. I was overjoyed to read in President Capilouto's emphasis on undergraduate education in his first Internet communication with alumni. I believe that with highly successful bachelor degree graduates across our colleges, all other elements of university activities and goals will follow with success, and, yes I include research as one of those activities.

Major steps in achieving this success were identified in two elements of the Huron Report. They were:

Improved System for Evaluating and Rewarding Teaching

If the goal is to produce successful bachelor degree graduates, then rewarding those who produce that result should be a consistently high priority. When it is, the best will gravitate to those positions and be retained there. A "successful graduate" succeeds in further education, research, business, professional practice, and teaching.

Expanded Professional Development Services

Successful teaching can only be achieved by teaching teachers how to teach. And, just as other professionals have specific continuing education on their specialties, professional teachers should have required continuing education on new teaching techniques and applications. I think that a survey of teachers across the University would not reveal a happy story of those who had any formal education on, for example, how to educate by motivating students to learn. The very fact that these subjects have been identified, just pleases me beyond my ability to adequately express. However, the question now is what to do, and what is done, about them. Thank you for the opportunity to comment.

9. Now more than ever I feel the university needs to keep in mind the MAIN reason for the institution....the education of our state's young adults. While growing as a research institution is an excellent path and goal...we can no longer accept teachers who have poor English skills and poor teaching skills and see the main reason they are here as researchers instead of educators.

10. As a grad of the Univ of KY (BSME '85) and a parent of 2 current Univ of Ky students (and potentially more to come)...these issues (low teaching effectiveness) still exist. This is a shame and not what the hard earned dollars of these students should go towards, nor the tax dollars of the people of the commonwealth. I urge you to put the education of the next generation as the first goal of any improvement program.

11. I have reviewed the report and agree with the recommendations. My only concern is that there is a tremendous amount of work to be done and it would be helpful to have a sense of

priorities and projected timeframes for completing the various initiatives given that this will likely be a multi-year effort.

12. The report covers many bases, including distribution of effort (DOE). The DOE is largely a joke. Yes, it lays out what percentage of effort is to be devoted to each important area, but it does not aggregate the actual hours per week to be spent. Many faculty members spend far more than 40 hours per week on their work. Should the percentages be based on 40 hour work weeks or on actual time spent during the academic year? Then what about the time spent on various activities in summer for those on nine month contracts?

In Engineering the norm is 45% teaching effort, 45% research effort, and 10% for service and professional development. This seems reasonable for the academic year, assuming a 40 hour work week. But then in summer most people are fully engaged in research, or in goofing off, or in course development, or some combination. This makes hash of the DOE. The same is true of the 50+ hour work week that is ingrained in many faculty members, while 50+ others work less than 30 hours and spend the rest of their time on family obligations or consulting or golf.

I believe the entire concept of the DOE should be reviewed and perhaps it should be discarded in favor of purely outcomes based assessments, while still taking into account teaching and service loads. Such a course of action is bound to have unintended consequences, foreseeable or not, most likely not. It will definitely affect how faculty members are evaluated for merit, demerit, promotion, or not.

I have been here a long time and, with one exception, have been blessed with good chairs. When I was chair under three different deans, I had two great ones and one not great but adequate. Most of the time faculty "merit" was based on the official DOE, with no attention paid to reality. The individual faculty members were expected to produce dollars and papers in competition with others having similar DOEs. Frequently this did not lead to a happy family life or, in the end, job satisfaction. It became a matter of sacrificing family, or promotions and pay raises.

One additional point: Nowhere is national status in the profession addressed. Yet that can be an important determinant in national rankings of the University. National prominence and recognition should be a part of evaluations. Being elected to Fellow in one's primary professional society, or societies, is one indication of national prominence and status. There are other indicators, depending on the discipline, including professional licensure, requests for high level consulting, laudatory external reviews, prizes and other honors, invitations to lecture at prestigious institutions and events, etc. These should be recognized and rewarded on a continuing basis. They can be important parts of the retention effort, but will not fit into the DOE, nor into numbers of dollars, patents, books, and papers. If whoever evaluates the faculty is on the ball, they can be factored into the evaluations, but.....

13. When I first took over as Chair 7 years ago, I conducted a simple study of the correlation between faculty salaries and 6-year average FMER scores. In summary, there was no correlation. Faculty salaries in my department, it turned out, were governed by

- a. market value at time of hire
- b. available budget at time of promotion
- c. chair discretion
- d. dean discretion
- e. retention offers.

The FMER score had no effect on salary, when averaged over either a 6 or 8 year term. We have chairs and committees all over campus who work on evaluating faculty members according to established FMER procedures. In our case, at least, the FMER procedures were robust and fair ... but they did not translate into pay.

It would not be difficult for UK to address discrepancies between long-term performance and salary. One simply needs to study the correlation to find the outliers.

14. Departments are the backbone of the University. If the departments are strengthened, the university becomes strong. Many times department chairs are narrow minded and do not focus on the development of the department rather are interested in developing their own areas even if those areas are useless. That is a great impediment for the development of the department.

15. The discussion on retention in the executive summary could be significantly improved. Faculty leave UK for reasons that might be summarized well in a bar chart. This is hinted at in the text. 37% left for greener pastures, 31% retired.... The trends in groups over time could be interesting.

16. I am not sure if this is/was in the scope of your committee, but I would ask that you all also look at evaluation and promotion guidelines for clinical faculty members in the College of Medicine, and perhaps other health focused colleges. I am the administrative coordinator for the Department of Surgery and know that every year I hear frustration from faculty and Department Chairman about how we have physicians that work extremely hard, see a lot of patients and are good, solid, extremely valuable and productive faculty, yet they only have local recognition, have never published a paper or participated in a research study. Therefore, they can't get promoted based on "typical" clinical title series requirements. Now, that being said, most of these faculty are not concerned with promotion, and honestly, the thought of putting together a promotion dossier is more than they care to think about. But, we do have faculty that feel strongly about being promoted, yet don't feel like they'll ever meet the criteria set for them in their job description, and the Department's criteria for promotion and tenure.

I know this is an issue that has been brought up before, and one that will likely challenge the University's administrators for years. But, it has been a hot topic in many of the meetings I've been in recently. So, sticking with my home's mantra of, "either do something about your complaints or quit complaining", I figured I'd do something about the complaints.

17. As I was scanning over this document sent by President Capilouto's office this morning, my first thought is to have staff and faculty evaluated and compensated on outcomes. UK Healthcare leadership has moved to outcomes based evaluations and I would love to see this move over to the academic side as well. If students are not excelling, faculty should be held accountable. That also if not even more goes for graduate students.

18. I met with Tim Tracy a couple of weeks back and one of the discussion items was trying to transform inter- and trans-disciplinary activities here at UK. My experience suggests that there needs to be a culture change initiated both from the bottom up and the top down, and P&T criteria and expectations need to be in the mix. I discussed a large national group that I am involved with who are developing strategies for facilitating inter-and trans-disciplinary research. Tim suggested that you and I meet to discuss this further.

Also, I am curious if you are aware if the President and/or the Athletic Director have used the Penn State fiasco as an opportunity to reinforce the importance of high ethical standards and

accountability in our athletic programs with coaches, staff, and athletes. This experience and the consequences in terms of national and international attention demonstrates how mistakes in major athletic programs can undermine the credibility and tarnish the reputation of even one of the top public research universities in the U.S. It would be nice for our university community to hear something about this.

19. I want to talk only about one department which has been destroyed by just one faculty member. These people are going to be in the department until they die because no one else will give them a job with 150 to 160K salary for doing research in some of the useless areas. As long as these two are in the department, the department is only going to go to dogs. If the University does not appoint to chairman positions people with well-rounded background in various research areas, this will be the consequence. They don't graduate Ph.D's (or at least not that many) teach XXXX grad courses, enrollment of which is in low single digits unless they made it a core course.

20. Retention of Faculty: If you appoint people who have excelled in research as chairmen and directors, good researchers will stick around and more good researchers will come. If you appoint people who can't publish in any worthy journals to these positions, good researchers would neither come nor stick around.

21. First of all, thanks are due to all who have invested considerable time and energy into this important process. Your work affects all of us in the faculty ranks, and it provides important guidance to the university, with an end to continuous scholastic improvement of our institution. There is much in the report I can easily support. This memo is focused on providing commentary only on selected aspects of the report, for your consideration.

- Establishing clear and transparent performance review criteria is, in principle, difficult to oppose. However, my concern is that could become a “slippery slope”, where formulae are used to quantitate faculty performance. In our department, the faculty has endorsed a flexible approach to review and evaluation, providing written principles that govern our review of faculty members but no specific quantitative measures. I have always valued this approach because it gives the faculty license to exercise appropriate flexibility in evaluating performance. There are numerous paths to excellence in our discipline—indeed, diversity of scholarship is a strength in our department--and I fear that rigid performance criteria will “tie our hands” in such a way that reasonable and justifiable professional judgments of excellence may not fit into an administratively sanctioned review protocol.

- I was somewhat concerned to learn that some departments have annual reviews. While we do so at the assistant professor level, I would not be in support of annual reviews beyond that rank, unless requested by the faculty member. I'm not opposed to accountability; rather, I am concerned about scholastic productivity. Performance reviews take considerable time and intellectual energy on the part of all involved, and we must be careful not to eat into the time available for scholarly work. I do not believe that performance of associate and full professors varies so much from year to year that annual evaluations are justifiable. Of course, as mentioned above, faculty members should always have the option of having an annual review, but it should not be a mandated requirement for all faculty.

- I strongly endorse mentoring for junior faculty by senior faculty. I don't believe that formal systems are required, although that can be up to each department. Informal mentoring has worked very well in my own sphere; all it takes is a personal commitment by the faculty. But mentoring in one form or another should happen for all willing junior faculty members.

- I would have concerns about a post-tenure review process that is somehow separate from merit evaluation. The significant time expended to prepare documentation for evaluation is time away from scholastic activities. Of course, some is required, because we are rightfully accountable to the taxpayers. However, we must be very careful not to overdo it, either. Putting multiple, recurring layers of evaluation in place may have public relations value but may actually erode our value to the state and nation through reduced academic productivity.

22. With an increasing focus on research dollars and the immediate need to teach, many things of longer-term importance have been devalued -- not just professional development of faculty. For example, service in the form of curriculum development, creation/maintenance of facilities for student use, and working with student organizations and REUs, are being handled by a decreasing fraction of the faculty who spend an increasing fraction of their time on such tasks without a corresponding recognition of this in their evaluations. These "services" are the key advantage of a "bricks and mortar" university, and must be given enough weight so that faculty can and will do them without having to sacrifice themselves. I have seen many faculty with no appreciable service given the same 10% credit that faculty actually spending 50% of their time doing these things are given.

23. I found the report impressive, comprehensive, well researched, and provoking. I await moving beyond the broad brush strokes suggested, to real changes. Personally, although I have little about which to complain regarding my quality of life and experiences, I was depressed by the last chart. As a Full Professor here for almost 40 years, and at rank for 20, seeing my salary slightly above the average ASSISTANT professor's, below the average ASSOCIATE professor's and less than half the average Full professor's gives me pause.

24. As long as race plays an important role in tenure and promotion and appointment of academic administrators such as deans, associate deans etc. this university has a long way to become a top research institution. It is going to be a long long time before racism goes away in this institution.

25. This is a very thoughtful and informative report. In general, I agree with nearly all of the findings. One concern that I have is that estimated effort levels are not truly reflective of the amount of time it takes to do high quality work, whether that is teaching, research, administration, service, or healthcare. I do all of these except healthcare, and I can assure you that the expectations being placed upon me are much higher than the resources available to me. I honestly don't see how I can succeed in this situation, despite the fact that my team and I have accomplished a lot. Colleagues at other universities have told me that if the resources are not aligned soon with the expectations, I should leave UK to protect my career. In addition, the bureaucracy, such as that for getting new courses approved, is so slow that it is difficult to see how a new startup program will have much chance of succeeding especially given the new budgeting system and the new mandate to teach undergraduate courses as a primary way to get any operating funds to run an academic unit. Creating and teaching high quality courses requires much more time (and in some subjects, such as mine, dedicated instructional design and IT staff) than the current faculty load guidelines suggest. As research funding gets tighter it will take more effort to secure grants. Likewise, UK seems to underestimate the amount of time it takes for administration. Yes, lets hold faculty to high standards, but lets make sure they have the resources to actually focus and succeed. This means being realistic about how much time tasks take and also aligning everything at UK so that administration, policies, and procedures do everything possible to ensure faculty and student success. We also need to make research a priority for UKHealthcare--it must be at the same level as patient care, because the future of academic health science centers depends on tight integration between clinical and academic units.

26. Establishing a clear cut criteria for promotion is very essential. In some areas getting grant is not easy whereas getting grants in other areas is easy. Putting too much emphasis on grant without giving due weight for publications in quality journals is not going to make it a top research university. Current teaching evaluation is flawed. Some faculty end up teaching only/mostly core courses and large classes in which one can get bad evaluation; others teach only/mostly optional courses with very low enrollment (in single digits) in which one can get good evaluations. But no weight is given for teaching large classes or core courses.

27. Wethington awards are provided inconsistently. Unit administrators can withhold them with no explanation, and the formula for the awards is not made public. For example, in our unit, several people will get the same amount of Wethington award, even though some are not PIs nor have they secured any funding. When asked how this could be, I was told that the idea was to keep the awards uniform so that no one would feel less important. This procedure de-incentivizes those that are working hard and is just generally demoralizing.

28. Faculty should know about the details of the review process before the review period for which it will be utilized begins, including weighting of any individual parts. No one should be evaluated without having the opportunity to adjust to the weighted components of the review. Teaching components should include evaluations as well as the number of students in the courses and the number of lectures given. Research should include number of publications, quality of publications, grant number, new grant number, renewed grant number, grant dollars with IDC, grant dollars without IDC, gift dollars. Service should include university -associated service (onsite and off-site) and service not associated with the university. Invited lectures nationally and internationally should be included, as well as CE lectures done off-site.

29. Merit evaluations are based on a 5 point scale. Everyone gets a 3, 4, or sometimes a 5. But the distribution of effort is quite constrained so the weighted average is generally even more constrained. Thus, the range of merit scores is quite restricted. Thus, excellence in one area may count less than it should.

30. Faculty and staff accountability must be balanced with reward systems that are meaningful. Not sure that innovation is properly rewarded or identified using criteria. Need to define and identify levels of innovation. How is innovation different from high merit criteria. Need to bring clarity to this issue then design systems for recognition and reward. Need to look at responsiveness and capacity for innovation. Develop processes to guide innovative initiatives. Need to assess how units can be more nimble so that change and innovation is not so slow. When right sizing is being implemented, process needs to be improved to increase efficiency.

31. I noticed that there are no members on the committee representing the clinical faculty. While this group is somewhat unique to the university, there are specific problems and issues that need to be addressed. Some relate to the full time clinicians, and some relate to those individuals that are physician scientists, a very small group, but a group that appear to be treated in a very non-transparent manner. Recruitment and retention of both clinical faculty and physician scientist is likely to diminish significantly with proposed changes to performance evaluation and practice plan in the College of Medicine. I would anticipate a huge number of clinical faculty leaving as well as a number of the physician scientists.

32. I have one comment that I believe is relevant to all three questions above, there is a serious need for more formal mentoring of Assistant and Associate Professors (Assistant, in particular) with regard to identifying achievements needed to meet and exceed (for promotion) performance expectations. Also, there is little opportunity on campus for professional

development. We would benefit campus-wide from having more formal opportunities for early- and mid-career faculty to support each other and be informed of promotion expectations. Excellence in research is rewarded by promotion and salary adjustment (typically only in the "fighting fund" scenario though). Excellence in teaching is largely unrewarded. Excellence in service is almost entirely unrewarded. Lastly, the process for promotion to Full Professor in most Colleges (not including the COM and COP) has become a matter of duration of appointment, rather than achievement. My colleagues generally assume that 20+ yrs of appointment at Assistant/Associate provides an entitlement of promotion to Full. This undermines the integrity of the tiered professorship system.

33. I worked at another highly regarded research university for ten years. I also served as a department chair at u.k. For 6 years. My observation is that my experience with the process at u.k. is pretty much a top down assessment closely tied to merit pay. At my former position goals were formulated by the faculty member for the coming assessment period. At the end of that period, those goals were reviewed with the department chair who then forwarded as assessment based on a mutual discussion with the faculty member. I always felt this was a very positive motivator to live up to my own established goals. I never heard any criticisms of the system as it was generated from the faculty themselves.

34. I believe that the Lecturers are evaluated too frequently here at UK. The time that Lecturers spend preparing FMER forms each year significantly cuts into the time they could be spending improving their teaching or doing research. Tenure-track faculty only have to submit FMER's every other year. Requiring Lecturers to be evaluated every year implies that Lecturers are somehow not as capable or qualified to teach as tenure-track faculty.

35. Rewarding excellence among the faculty is relatively easy, but there is certainly no meaningful way at UK to release faculty that are underperforming, the problem with tenure. I would like to see tenure abolished with 5-yr rolling contracts implemented as a replacement. Because the salaries are so low in my College, everyone absolutely expects a raise, regardless of merit.

36. The reward for performance has become almost notional in this university - since salary raises are so rare. The only way a faculty member can increase her/his salary is to get an offer from another institution and bargain with the dean. To some extent this is of course common practice everywhere - however in our case this is the ONLY way. That, I think, should not be the case for an academic institution. It is a different matter if we view this university as primarily an athletic and medical facility with some classes and research thrown in to make it a little more respectable.

37. First: My main concern regarding evaluation of faculty productivity is that faculty are now called upon to do a lot more 'chores' such as overseeing common equipment, setting up visitor schedules, approving and tracking finances, fixing 'stuff', taking our trash, overseeing all manner of activities and certifying with their own integrity countless University activities. In order for us to do these things we have to divert time from pursuits that would be the traditional basis for evaluation. Thus evaluations that take into account only the productivity of the 70% of our time actually spent on teaching, scholarship and research will inevitably favour the folks who dissociate themselves from the tasks of keeping the departments functioning and enabling the University's funding cuts. I request that your committee either find a way to reward the good citizenship of those who do these reward-free things that the University needs us to do, and in fact assumes that we must. At the very least, a statement should be included that recognizes that most of the faculty could accomplish more scholarship, research and teaching if their time were focused on these activities. At best, is there a way to invite all faculty to vote for

departmental 'good citizens' (GCs) ? Most of the things the 'GCs' do are not recognized by any title, and in fact might be embarrassing to us all if they were listed on *vitae*. Thus sometimes even the chair does not know what the GCs are carrying out. However a web site allowing other faculty to vote 'thank you's to their most helpful colleagues would enable the committee to recognize those who do so much to free the time of the folks who appear so much more successful. We need both types of person; without the public successes of the prominent scholars, teachers and researchers the University will lose standing, but without the GCs the wheels will fall off and our prominent folks will simply leave. The GCs thus deserve at least a fraction of the credit for the traditional accomplishments of the folks who glide past without chipping in. Moreover I do not wish to imply that the folks who do not chip in as much are in some way evil. I hope they will be the first to want to give credit to their GC colleagues who make their own focus possible.

Second: We need a more mature way of evaluating teaching excellence, impact and lasting value. The current questionnaires devolve to popularity contests. I wish I had a concrete suggestion of how to implement this, besides requesting other faculty to visit lectures, and other efforts that are sadly beyond our resources.

a. Could we ask senior undergraduates who are not currently taking a course to attend a lecture and evaluate it as a team upon discussion among themselves and with other students? Ask seniors in a major, who have the perspective of having taken multiple courses, and of having benefited from the strong preparation provided by a demanding course.

b. A device used at other schools links the on-line evaluations with the grades awarded by the course. Courses awarding higher proportions of As are known to be more popular and indeed are found to be better rated both with regard to the course and the instructor. Thus, it is common knowledge that instructors under pressure to secure good evaluations are advised to water down the course, make the work easier and give higher grades. By applying such pressure without corrective measures, we will simply convince our instructors to inflate grades and dilute education.

c. Another factor that should be taken into account as part of the teaching evaluation is the preparedness of incoming students. Instructors have to teach whoever the admissions office and advisors admit. This often places instructors in very difficult positions through no fault in their abilities and efforts in teaching. Thus it would be very telling to ask students to take a placement/preparedness test in the first week and take the results into account in the assessment of the teaching evaluations.

I appreciate the time and effort you put into the running and caliber of our Institution. Thank you very much for making it possible for faculty to voice their suggestions.

38. In his 29 July memorandum, Dr. Capilouto asked for faculty feedback for the new UK Blueprint. I wish to comment on the Wethington Awards program which I believe has inordinately rewarded one aspect of faculty "performance" while devaluing other, equally important contributions to the University's mission. I have 34 years' service on the UK faculty, an 80/20 research/teaching split, and have been Major Professor for about 45 graduate students. I am a Fellow of my professional society, received national and college awards for teaching, research, and service to graduate students, and been a University Research Professor. I note these credentials to make the point that I'm not an unproductive, disgruntled faculty member. I'm committed to the University, and UK has been good to me in return.

39. I have observed how the Wethington Award Program, which pays back cash bonuses to faculty who procure certain types of grants, has encouraged some individuals to put increasing less effort into teaching, advising, and service, or in some cases even to absolve themselves from those activities. This creates a two-tier faculty, the “haves” whose research aligns with priority areas of large funding agencies (e.g., NIH and NSF) that pay full overhead and salary savings, and all the other equally productive faculty doing mission-oriented research funded by smaller grants and contracts, or who have greater teaching or Extension responsibilities. I believe it is an uneven playing field (demoralizing) to reward some faculty members with substantial bonuses for one type of productivity (up front, irrespective of the quality of research that follows) while others who excel at other aspects of the University’s mission see their salaries stagnate year after year. And, of course, the latter provide the academic environment that allows colleagues who are more singularly focused on research to thrive.

So, in response to the question posed in Dr. Capilouto’s memo: How do we determine fairer, more consistent ways to review, reward, and retain our faculty – those who lead our efforts to teach, conduct research and render service?, I suggest starting by overhauling the Wethington Awards program. I think sharing parts of federally funded grants as undisclosed bonuses (in the past, up to \$50 K!) for anyone is a mistake. I assume that its legality was checked out, but it seems like a shell game. Leaving allocation of Wethington awards up to individual Departments side-steps the root of the problem when they go directly into the pockets of individual investigators. There must be a better way to more equitably encourage and recognize faculty excellence.

40. I do not have much to add to the report. I am happy to see it and only want to reiterate what I find here: the lack of monetary resources are the key issue: salaries, and research and staff support. Low salaries are one thing, and have been a problem for many years. The recent slashing of staff support and research support, which means that scheduling of speakers, for example, falls to the faculty member, is another. It means, for example, that we cannot attend our national conferences, even to present our research. It means we become expensive clerical staff--making copies, reimbursing visitors, tracking down invoices. This impedes on research productivity. Less tangibly, it makes it harder to feel that this is a research institution, but rather a second-rate one that only pretends to be productive and relevant. To my mind, and many of my colleagues, we are no longer talking about "things that we would be nice to have" but things that cut into the core of the mission.

Brief comments here that I imagine echo many others. Thank you for your hard work on this project.

41. So to wrap up one of the largest dissatisfaction I have currently is the disengagement, the rubber stamping of dept matters by higher admin without gaining faculty input and lack of the faculty being informed on the undertakings in departmental matters."

42. That was a thoughtful report. I have comments/objections as follows:

I was surprised that in the professional development section the sabbatical program wasn't mentioned at all. In a nearly 40 year career I only took two, because I was having enough fun doing what I was doing -- but the second sabbatical set in motion a research program that continues today. It's a pretty big investment that the university makes; I think it is important. It's also useful seeing the culture in other departments -- how they do things, what kind of infrastructure they have.

From time to time my department has discussed aloud how to evaluate teaching.

- a. We have found out the hard way that the "pounds of documentation" route is useless. You don't learn anything reading Prof. X's syllabus. *Rewarding "innovation" is silly: we are going to teach the best way we know how, whether it is the old way or some new way.
- b. Peer review? In my department the teaching assignment is very different, depending on whether it is an undergraduate service course (160 reluctant students), a course for majors (a dozen of widely varying talent), or a graduate level course (twenty hard workers), and we circulate through these. You would not be able to evaluate whether Prof. X was doing a good job from visiting one class or even a half-dozen. The style, the approach, the assignments, the way that expectations are stated and then translated into the exams, are all important parts. Meanwhile, student evaluations are excellent feedback. Of course, they grade us on the same scale that we grade them, so a B in a graduate course has a different meaning than a B in XXX 101. But we understand this, and compare the result to the results others have attained in the same course.
- c. The breadth of assignment has meant that people have gravitated somewhat to the areas where they excel. Fortunately, in my department many of us are competent in many areas, enough so that everyone finds an interesting a rewarding assignment where they can do good work. A corollary is that we are chosen for our assignment, and at the end our evaluations are very similar (this drove Dean Hoch nuts. But it was appropriate!). Don't be seduced by "the miracle of the data-base." These discussions are not complete without someone proposing that there is a magic algorithm that will reveal true quality if we collect enough data. But in reality, it would produce a junk score, where you get a few points for having a syllabus, a few for arriving to class on time, and so on. A database is only as good as the information put into it and the report-generator that is constructed for it. If we were all doing exactly the same thing, evaluation would be easy and a database could do it. But to first approximation we are all doing something completely different; you can assemble any amount of information (my point #1) and know nothing; the hard part is comparing these cloud berries to those rambutans. When a computer can look at a painting or listen to a symphony and tell you it is good, it can start doing teaching evaluation.

Service was briefly mentioned. Even though this has played an important role in my career, I think the small mention and the small role it plays in the rewards system is appropriate. I believe the correct statement of the mission component of the university is that it use its expertise to the benefit of the commonwealth. We contribute unequally towards that goal, because most academicians don't have expertise in areas that are directly relevant to today's needs. I don't see this as a problem, as long as some of us are playing some sort of role. But these cases are almost by definition "found objects," not predictable, not amenable to evaluation by some standard rubric.

The rewards system has served me well. It has given me a lot of freedom to do things my own way. I believe I have been judged fairly, even when I didn't quite like the results. Perhaps all this means is that my department has had a series of excellent chairs your committee should try to figure out how to ensure this happens for everyone.

43. Only one comment on the report draft - what is a Wethington award? Apparently this is something that people with research funding can apply for, but a search of UK's webpages only shows lists of people who have received them (almost all at the Med. Center), and no information about what it is or how to apply for it. Is this only applicable to med. center faculty?

I've got five major research grants currently funded, and if there's some mechanism in place to reward this kind of effort, I've certainly never heard of it. Is it supposed to be secret?

44. Thank you for affording us the opportunity to share our thoughts on the key issues of Faculty Review, Rewards, & Retention. I have carefully read the draft report and am pleased with many of the recommendations and considerations it makes. Herewith please find additional comments that are important to consider as further discussion and implementation goes forward.

a. UK does not reward faculty for loyalty, and this fact is directly related to the issue of salary compression. Indeed it often feels as if the longer you stay, the less you are appreciated. The only way to combat salary compression it seems is to get a job offer from another institution. But what if a faculty member has no desire to move--not because he/she is not motivated, but because he/she believes in UK's mission, values UK students, and is happy living in Lexington? Or what if the field in which the faculty member works has few, if any, job openings at a similar rank?

What happens is that one is penalized for being loyal and staying with the University. In my own case, I am an associate professor who has been here at UK for 22+ years, won a teaching award, routinely receive excellent teaching reviews (and I teach mostly undergraduates and have been long before Eli Capilouto got here!), have served extensively and well, and am working on my second book, with a first book well-received, countless conference presentations and invited lectures (including at Harvard and Cambridge Universities) and I am making less money than practically every assistant professor in my department who individually and collectively have less experience than I have and virtually no track record here at UK.

One can ask whether this is fair or appropriate. While life is not fair, it does seem that it should be appropriate to receive compensation on par with one's tenure at UK and one's contribution to the institution. In Capilouto's new matrix, I should be a star and be compensated as such since my entire career has been devoted to undergraduate education!

The salary compression issue affects not only me, but many, if not most of my mid-level colleagues who fight the good fight, support the cause, only to have their loyalty and sustained service ignored or worse, denigrated, every time a new hire is brought on board. My theory is you take care of the people you have first, and then manage new folks.

The salary compression issue is disheartening at best and depressing at worst. Thank goodness I have great students who make my job the pleasure it is. Nonetheless, the single main thing that the University could do to address the reward & retention issue is to deal with the compression issue in an even-handed way, rather than in the way a previous Dean of A&S did by giving \$25,000 raises to two professors (who deserved them!) in the department in which he might have ultimately been housed had he stayed at UK. That kind of action further aggravates salary compression and makes for an atmosphere that is less than satisfactory.

b. The model for promotion to full needs to be expanded to include not only new kinds of scholarship--digital publications, digital humanities projects, content-rich web site construction--but also the different paths that one can take after promotion to associate professor. One's record of service and teaching should be held in as high regard as scholarship, and the teaching should be even more richly rewarded as one progresses in one's career. Too often we hear student complaints about poorly trained TAs or lecturers

who do not effectively convey the material in class. Thankfully while such instances are the exception rather than the rule, it nonetheless should be the practice that excellence in teaching gets rewarded equally for promotion to full. Each person's career path is slightly different. And engagement with one's institution, department, field, and students varies as time goes on and interests change. Therefore it is incumbent upon the institution to reward excellence in a variety of areas. As the situation currently stands you can be a so-so, even bad instructor, have minimal service, but if your scholarship is top-notch, then you are promoted to full without question. Isn't there something wrong with that picture?

c. Finally, if UK really is serious about reward and retention, then the Medical Center needs to be cut loose from the General Fund. As I have heard many times "the Med Center is the money maker on campus." If that indeed is the case, then the Med Center should have its own budget on which it supports itself and does not use tuition money for new buildings, etc.

The general fund, supported largely by undergraduate student tuition, should serve the academic mission of UK, and only the academic mission. There would be no Med Center (with a hospital that is 75% empty for the foreseeable future and a debt load that could fund a small country) and Athletics Department without the academic core of UK. The University exists first and foremost to educate people. Somehow this currently is neither the case, nor the priority. Should it become a priority, then a portion of the general fund should go to support faculty rewards and retention. If you don't have good faculty, then you don't have a good educational institution no matter how well-ranked your basketball team is.

And given the current budget situation and the plans for a new budgeting system that is appallingly bad, the hope for renewed attention to faculty rewards and retention seems like a pipe dream at this moment and for the foreseeable future. We are saddled with a President who talks about undergraduate education, but who has not taught undergraduates and has no clue as to how effective undergraduate education needs to be implemented. That is cause for alarm, but, alas, what can we do?

d. I do wholeheartedly agree that rewards do not match effort, that much of what we do goes unevaluated, un(der)appreciated, unrewarded. I would only ask that the steps moving forward do not put the burden on faculty to take many additional steps, as they are already overburdened in many cases. I too believe that teaching evaluations are a poor way to assess teaching. But I am concerned about peer evaluation and how it could work. We have a good mentoring system (in my view) in MCLLC, but the goal is developmental and professional development, so to use it for evaluation would be a conflict of interest. In addition, I have 45 faculty members and 18 graduate students in my department, so to observe each of them at least two times in two courses would be prohibitive.

e. As to retention, while getting a read on faculty who have either left (or attempted to, but ultimately decided to stay), there are two issues. For those suffering from salary compression (associates), the issue is indeed reward and salary levels, particularly as children enter college. For those at the assistant level, that is not an issue at all. Rather, they are dismayed with the environment at UK. They do not see that the university is living up to their expectations for pedagogical excellence (larger classes, less stringent requirements overall, erosion of standards for a college education, not enough support for their programs) or for research mission (moving from a research 1 university to, in effect, a professional school or a regional, a place where all investment goes to non-academic aspects of campus, e.g., the medical center, athletics). What concerns me is that these are bright lights in our college, who came out of excellent schools, who are much loved in the classroom, who have been instrumental in building programs or redesigning curricula that will make UK a better

institution and who have book contracts with prestigious presses. They ultimately see no reason to hang on in this climate and are seeking to leave. I cannot say that I blame them. At a different point in my career, I would certainly have joined them

In any case, thank you again for the opportunity to share these comments with you as part of this vitally important process. Should you have any questions or require further information, do not hesitate to let me know.

45. More assessment and surveys. After directing money towards certain areas, assess those areas to grasp success rate.

46. I have reviewed the report and agree with the recommendations. My only concern is that there is a tremendous amount of work to be done and it would be helpful to have a sense of priorities and projected timeframes for completing the various initiatives given that this will likely be a multi-year effort.

47. a. Phase retirement should probably be reconsidered. It keeps the faculty member disengaged half way (with full benefits), while preventing the unit to hire a new assistant professor.

b. The work of some committees seems less meaningful and therefore serving on too many committees could be detrimental to faculty in fulfilling their academic mission.

c. Non-monetary rewards like establishing Distinguished Faculty Academy are important and should be promoted.

47. Comments from the Staff Senate:

a. By thoroughly reviewing faculty productivity, student evaluations and/or patient satisfaction scores as well as number of submitted/approved grants. Faculty in administrative roles should be evaluated on the overall productivity of their department with input from those who report up to him/her.

b. People just want their jobs and a fair wage for their work.

c. As with any review process, it has to be followed and "favorites" cannot be allowed to continue without producing quality research. If the students evaluate the instructor and they do not get favorable semester after semester, obviously, that person is not a quality instructor.

d. Get rid of tenured profs who don't produce. You have to start there to be fair.

e. Pay that is equitable to national norms would help us recruit and retain better fundraisers - and private support will be the key to accomplishing many of the goals of this administration. Freezing the salaries of fundraisers and cutting positions is the very opposite of what should be taking place during tight budget times. "Boots on the ground" raises money for UK; less boots, less money raised. These are the folks who could provide endowed chairs and professorships that would reward faculty for their work.

f. The biggest issue we have, in my opinion, is that we maintain an "equity" system rather than a market system when it comes to compensating faculty and staff. If I want to hire a top-notch scientist or a staff member working in a clinic, I cannot offer what "the market will bear" because if some other staff person with the same title at UK has more "months of service" (not accounting anything for performance) the most that can be offered is what that person at UK makes; if I want to offer more, it causes an "equity adjustment" for every other person with more months of service (excluding anyone on disciplinary action) as long as that staff member(s) a) has a boss that will support the equity adjustment, b) the department(s) has/have funds to cover the increase and c) receives senior level management approval. Faculty is handled in much the same way, i.e. I cannot bring in a new associate professor at \$120K if other associate professors in my department currently make \$110K. It makes recruiting very difficult, especially for the top scientists we are trying to attract. Sometimes you have to pay more to be competitive (we have a terrific basketball coach...I doubt we could have hired him if his overall compensation package was tied to the salary of coaches in other sports at UK).

g. I would like to see reward, retain system based on performance and not based on tenure. Would it not make sense to reward those faculty with the highest average scores or graduation rates? What about customer satisfaction scores from students and peers like a 360 degree appraisal? My daughter attended UK for 1 semester and it was the worst semester of her college career. The faculty gave poor direction, used personal websites for material, did not use blackboard and did not really care whether they succeeded or failed.

h. I would like to see reward, retain system based on performance and not based on tenure. Would it not make sense to reward those faculty with the highest average scores or graduation rates? What about customer satisfaction scores from students and peers like a 360 degree appraisal? My daughter attended UK for 1 semester and it was the worst semester of her college career. The faculty gave poor direction, used personal websites for material, did not use blackboard and did not really care whether they succeeded or failed.

i. Each college should have a pool of money, based on size of the college, for use by the Dean to retain employees or to use however he/she sees fit to make the college a better teaching/research/land grant oriented component of the University. Each Department Chair would have a say-so in areas that affect her/his department.

j. If you take the funds from no longer leasing office space, those can be then set aside for faculty bonuses, raises, or new salaries. However, I do feel that the University puts too much emphasis on retaining mediocre faculty members which in turn pushes away good employees. If you are going to allocate a good portion of funds on faculty, they should be held to a higher standard and not be rewarded just for being a faculty member here at UK.

k. Build an environment that boost morale. Assure young professors we are a family friendly campus with great work life flexibility. Boost mentoring of young faculty and staff by those getting ready to retire by passing their wealth of knowledge down to the next generation of workers.

l. Productivity measures. Hold them accountable for what they do and don't do. There needs to be more of an effort on patient and non peer evaluations of their efforts.

m. I don't know enough about this process to offer any real insight. I would just caution that different departments function very differently by necessity, and that attempting to apply the same rubrics across the board may not yield the desired result.

n. Faculty that consistently produces students who demonstrate learning are rewarded, those who do not are cut. Research that is funded through grants obviously needs to show results working toward the outcome. If progress and results are not evident, those grants will not be funded again. Those who show the consistent work get rewarded, those who do not, aren't.

o. Rewards and retentions are only half of the equation which results from review of individual faculty performance. Individual faculty performance should be regularly and honestly evaluated against clearly stated parameters of what constitutes not only satisfactory and exemplary performance, but also what is not satisfactory. Tenure notwithstanding, if individual faculty are not meeting satisfactory performance levels, there must be a process in place to assist such individuals to improve their effort and failing that improvement, removal for nonsatisfactory effort has to be an option. "Satisfactory" performance is compensated by salary - it is what UK has a right to expect in return for the salary. "Reward" is what is given for exemplary performance, it is a goal to strive for in those who are performing at the satisfactory level - it should not be given simply because one meets a satisfactory level of performance. That distinction should be clearly made and then adhered to. UK is currently an overall mediocre university. When honestly evaluated, this is the best that UK is right now. For that status to improve, the quality of individual faculty as well as the quality of their work must meet a higher standard than the comfortable minimum that is currently widely accepted.

p. One complaint that I hear from faculty involves their grants and their departments. When the faculty in these areas work very hard to get extra funding from grants for their salary, the faculty member themselves does not necessarily see more money - instead that stays with the department. Sometimes more incentive would be helpful. Also, the use it or lose it attitude is a bad idea. Departments should be able to save funds from one year to the next - thus rewarding them for being cost savvy.

q. This question should be asked about all employees, not just those in a faculty track. First of all we need to benchmark and put some time into investigating the recipes used by other universities (or even businesses) that are successful and produce the outcomes we desire. Second, we have to be willing to think out of the box and try new things. For instance, I think we have to wake up and smell the coffee that the current tenure track is an outdated and dying form of employment reward and security, esp. as higher education is undergoing curricular changes in response to contemporary job markets. It would be to our advantage to begin to dismantle the tenure process and instead create teaching and research jobs based on existing needs. Lastly, we should have a system that reviews, rewards, and retains ALL staff with fairness and respect across the board. As an employee, being part of a fair and respectful workplace is a huge intangible benefit and will go far to retain folks - more than any money or other costly benefits. Nothing is more frustrating to a hard committed staff than to work alongside staff who do not pull their weight. While layoffs suck in general, pruning back all the dead wood will actually stimulate the growth and development of the remaining good wood. In this spirit, we should also implement a mandatory retirement age (for faculty and staff). For those who are able bodied and can contribute at a solid level can be hired back as temps or consultants.

- r. Faculty reward and value those individuals they agree with - there is no relationship between the budget allocation and valuable faculty service to the University.

- s. You can't determine those locally and in isolation....faculty are attuned to the values of their disciplines and review themselves based on publication and research. You could possibly make some low-cost headway (re "retain") by clearing obstacles to multidisciplinary curriculum. Lots of bureaucratic obstacles there.

- t. Student evaluations cannot be the only thing used to evaluate faculty. 360 evaluations--where faculty in a department evaluate each other--could be added to the list of what is used to evaluate faculty members. Maybe reviews inside the classroom. Perhaps having focus groups with students (although that would take time). Maybe talk to Student Government and get their insight about what students would want to see.

- u. I question the tenure system. In my college, new faculty work feverishly the first three years then do nothing after receiving tenure. Adjunct faculty and lecturers are who the students identify with, not the tenured faculty to only teach small graduate classes. I understand this is not true across all of campus but there is probably at least one in every department who needs to go! Free up the funds for those who "do!"

- v. More faculty, less administration. You don't need two administrators per faculty member.

- w. Push more money toward salaries and away from alumni schmoozing, expensive glossy color advertisements, dinners, travel, and fringe benefits.

- x. Have faculty evaluated each semester by the students. If they can't teach students they don't need to be here. Streamline classes and cut out non essential classes especially those that won't help students get a job as they are so unusual!

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.

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.

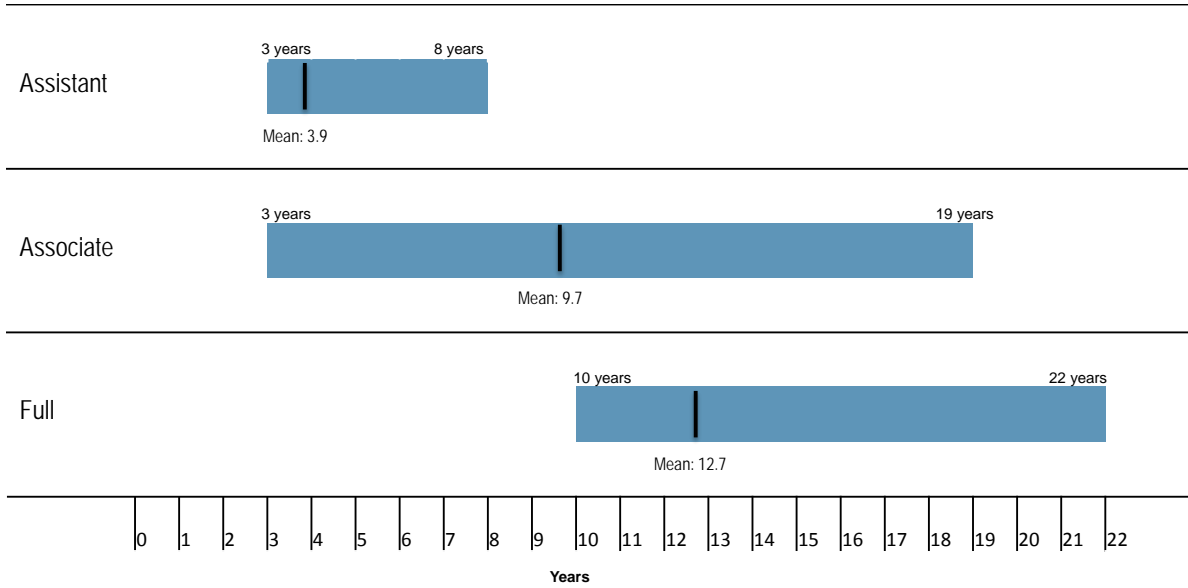
Challenges

- **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**

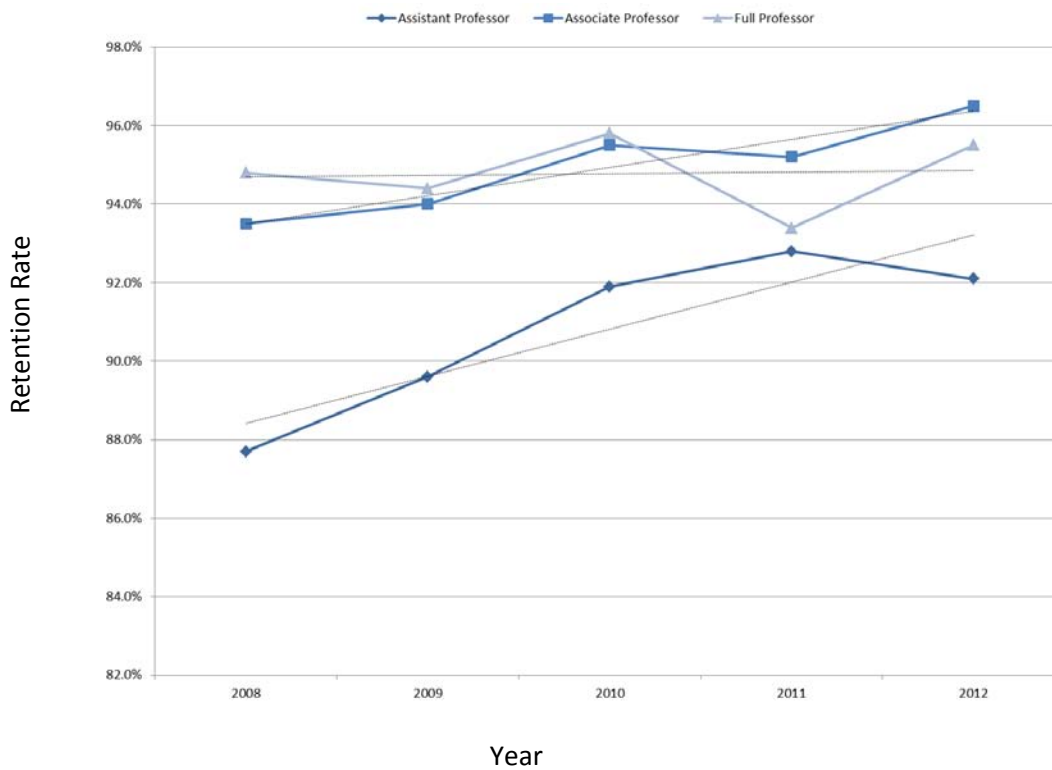
**Exhibit 1: Tenure/Tenure-Track Faculty Average Time-in-Rank by College
2010**



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.

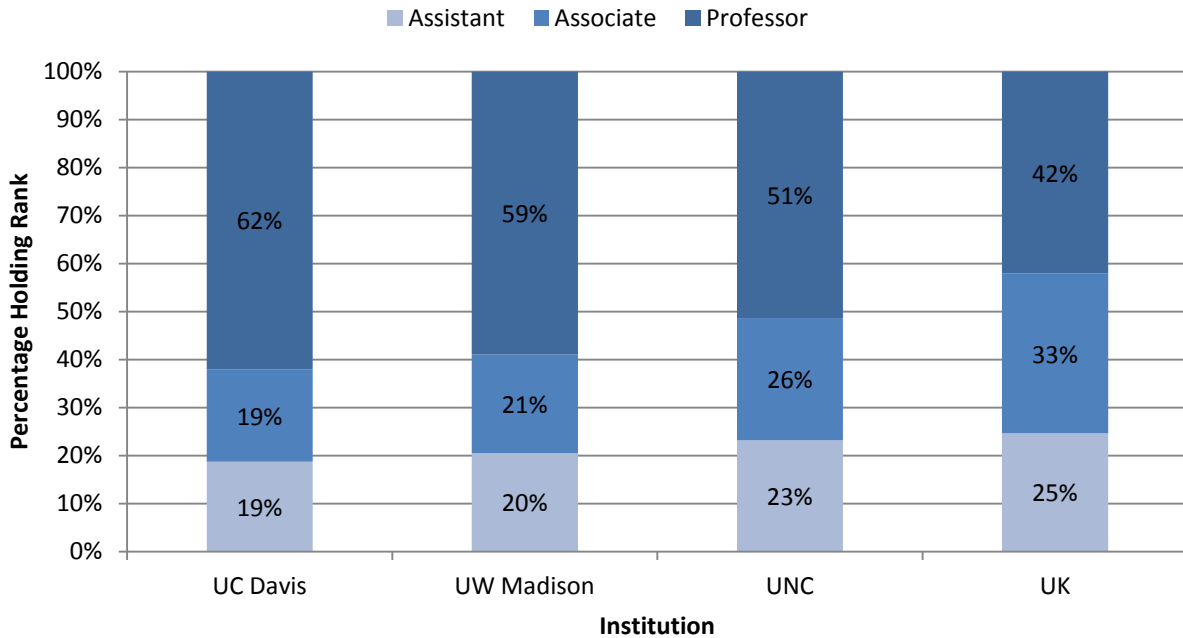
Exhibit 2: Faculty Retention by Rank 2008 to 2012



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

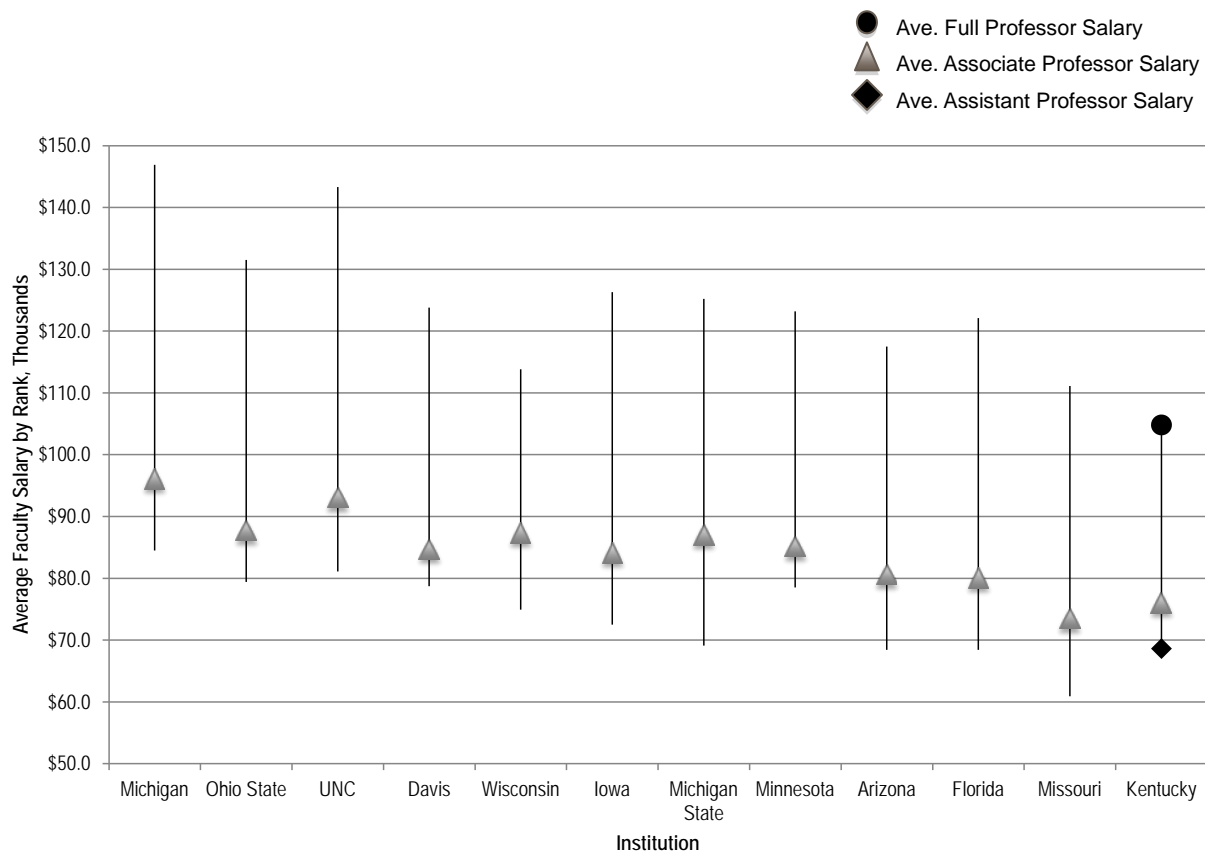


Data Source: UK, Peer Institutional Data

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

RECOGNIZING COLLABORATIVE EFFORTS: TEAM SCIENCE

CULTURE TRANSFORMATION – Collaborative team science must be valued and recognized as essential to the success of translational science and discovery. Team science refers to team-based research initiatives to address complex and multifaceted problems that require cross-disciplinary collaboration. Transforming our culture requires that we identify, educate, and train faculty in the benefits of and metrics for collaborative team science.

1. Adopt **collaboration** as a core value at the University level.
 - Modern research methods indicate a need for culture change in academia.
 - NIH and NSF urge universities to promote interdisciplinary, collaborative team science. NIH promotes team science with its multiple principal investigator program¹ while NSF promotes team science through specific solicitations² and most of its center awards.
 - Several benchmark universities have established institutional core values specifically related to collaboration.
 2. **Identify** appropriate metrics for collaborative team science that can assess the value of an individual research team member's contributions to products.
 3. **Educate** (or re-educate) department chairs, division chiefs, and P&T committees on the value of collaboration.
 4. **Train** department chairs/division chiefs on dossier preparation to highlight and value interdisciplinary efforts in P&T decisions.
-

METRICS FOR ASSESSING TEAM SCIENCE COLLABORATIONS – Each faculty dossier should include the following:

1. Assessments by the project team leader and/or Center director.
 - Budget justification from grant proposals defining each team member's role and significance.
 - Annual reports to funding agencies defining specific contributions, outcomes and significance.
2. Assessments provided by other team members.
3. Evidence that collaboration(s) result in support for a significant portion of the research DOE.
4. Explanation and justification for authorship. A number of archival journal editors are requiring that the corresponding author define the contribution of each co-author to the manuscript, as well as its significance to the conclusions. Patent applications require that the contribution of each investigator to the invention be defined.

¹ The multi-principal investigator PI option presents an important opportunity for investigators seeking support for projects or activities that require a team science approach. The overarching goal is to maximize the potential of team science efforts in order to be responsive to the challenges and opportunities of the 21st century. http://grants.nih.gov/grants/multi_pi/

² NSF has long recognized the value of interdisciplinary research in pushing fields forward and accelerating scientific discovery. Important research ideas often transcend the scope of a single discipline or program. NSF also understands that the integration of research and education through interdisciplinary training prepares a workforce that undertakes scientific challenges in innovative ways. Thus, NSF gives high priority to promoting interdisciplinary research and supports it through a number of specific solicitations. NSF also encourages researchers to submit unsolicited interdisciplinary proposals for ideas that are in novel or emerging areas extending beyond any particular current NSF program. http://www.nsf.gov/od/oia/additional_resources/interdisciplinary_research/

- For each publication/patent, specify the team member’s role and describe how his/her specific contribution to the research is unique, essential, valuable and independent.
5. Special and defined role in the unit/department.
 - In some cases, the offer letter may define a collaborative role for the faculty member. This should be part of the faculty member’s assessment and P&T evaluation.
 - In other cases, the faculty member may have a defined collaborative role for a limited period of time, as defined by the head of her/his unit.
 6. Letters of recommendation should include evaluation of collaborative expectations and roles, as well as the standards of the faculty member’s home discipline.

EXAMPLES OF AT-RISK FACULTY

Young basic scientists, engineers or statisticians may have the skills and training to perform unique, technically challenging analyses or to design novel instrumentation, broadly applicable to a wide range of diseases or conditions. The expertise/technology may have been a major contributor to successful funding and high profile publications, however, the young investigator may not be PI or senior author. He/she may be PI on small grants, but will always be interdisciplinary, reliant on biomedical collaborators rather than independently funded/supported in his/her research initiatives. Although their contribution is essential and may even be the major reason a new research field emerged, he/she may be at a disadvantage when being judged by conventional P&T standards.

Clinically-trained researchers whose contributions to clinical and translation science merit consideration for promotion may be constrained by the current P&T policy. For example, a young clinician’s expertise may be essential for the exploration of a research area. He/she possesses in-depth knowledge of the field for design and interpretation of experiments, has access to populations for subject recruitment and is trained to perform clinical characterization within the context of research. He/she is a critical member of a funded research team, contributing to both grant applications and manuscripts. He/she may even be recipient of a career development award, but will always require collaborators to move beyond clinical descriptive research. His/her clinical skills may even be relied upon outside his/her area of research, by the broader research community. Because he/she may be unable to drive an independent area of research as PI of a research project, he/she will be at a disadvantage for P&T due to the lack of specific criteria to judge a member of a collaborative, interdisciplinary team.

Appendix G was composed and approved by Center for Clinical and Translational Sciences

CATalysts:	Charlotte Peterson	College of Health Sciences (Lead CAT)
	Tom Curry	College of Medicine
	Eric Grulke	College of Engineering
	Linda Dwoskin	College of Pharmacy
	Nancy Schoenberg	College of Medicine
	Lisa Tannock	College of Medicine
	Todd Johnson	College of Public Health

Executive Board: Philip Kern
Leslie Crofford
Jeff Ebersole

College of Medicine
College of Medicine
College of Dentistry

APPENDIX H 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.