



# Procedures for Faculty Appointment, Reappointment, Promotion and the Granting of Tenure

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## I. Introduction

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A university capable of educating its students for work and citizenship in the twenty-first century must have an outstanding faculty. These procedures and criteria have been developed for the purpose of continually improving the quality and performance of the faculty in order to enhance the quality of the University's programs and permit the University to achieve its multiple missions.

The review required for promotion and granting of tenure is a summative evaluation of both the candidate's accomplishments over the entire probationary period and the candidate's future scholarly potential. It is based on the criteria set out in the *Administrative Regulations*, which require a consideration of information (e.g., the evaluations of external reviewers) that might not be available for the annual performance and tenure progress reviews.

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

Before appointing a faculty employee, the educational unit must ensure that it has followed the established hiring policies and practices of the college, as codified in the college rules and unit rules, and all *Governing Regulations* and *Administrative Regulations* on appointments.

## II. Entities Affected

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This regulation applies to all faculty and educational units of the University.

## III. Sources of Procedures and Criteria for Appointment and Advancement

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### A. Procedures

The procedures to be used in each educational unit for preparing recommendations for appointment, reappointment, promotion, and granting of tenure shall be those established by the University, the college and the faculty of the educational unit (GR Part VII, section B). The University procedures are those established in the *Governing Regulations*, the *Administrative Regulations* and as may be further elaborated by the Provost. In addition to the procedures prescribed here, college-level procedures may be established by the dean in consultation with the college faculty (GR Part VII, section A.4). Additional procedures at the level of the educational unit (hereafter referred to as “the unit”) are established jointly (GR Part VII, sections A.5 and 6) by the faculty of the unit and by the department chair, graduate center director, school director or the dean in a college without departments or schools (all referred to hereafter as the “educational unit administrator”).

### B. Criteria and Evidences of Activity

1. The University-level criteria and evidences of activity to be used in evaluations for appointment, reappointment, promotion, and tenure for the various faculty title series are specified in various sections of the *Administrative Regulations* as indicated below:
  - (a) Regular Title Series (see AR 2:2-1 and 2:2-2)
  - (b) Extension Title Series (see AR 2:3)
  - (c) Special Title Series (see AR 2:4)
  - (d) Research Title Series (see AR 2:5)
  - (e) Clinical Title Series (see AR 2:6)
  - (f) Librarian Title Series (see AR 2:7)
  - (g) Adjunct Title Series (see AR 2:8)
  - (h) Emeritus Faculty (see sub-section III.C.4 below)
  - (i) Lecturer Series – Unit criteria and evidences of activity, and procedures for appointment, reappointment, promotion, and merit review of Lecturer Series Faculty shall be developed by the faculty of those educational units that employ Lecturer Series faculty and submitted to the dean of the college for approval (see AR 2:9).
  - (j) Voluntary Title Series – Criteria for academic ranks of voluntary faculty shall be developed by the faculty of those educational units that employ Voluntary Series faculty and submitted to the dean of the college for approval. (see AR 2:10).

2. In addition to the above, each unit's faculty shall develop policy statements describing the evidences of activity in instruction, research and other creative activity, and service that are appropriate to their field(s), for use in guiding evaluations for promotion and tenure. The departmental statement is operative in the unit upon approval by the dean (GR Part VII section A.6.c). If no such statements are approved for a unit, then only the specifications of the University-level regulations shall be used for evaluation.

### C. Other Faculty Appointments

1. Joint Appointments – The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment shall be processed independently and shall be considered on its own merits. An individual's academic rank, though usually the same, may differ in the constituent appointments (see GR Part X, section B.1 (a) (ii)).
2. Faculty Employee Assignments at the Veterans Affairs and other academically affiliated non-UK hospitals and clinics – There are occasions when a regular faculty employee may be assigned to work at the Veterans Affairs or another non-UK hospital or clinic pursuant to an academic affiliation agreement. In such cases, salaries may be paid partially or totally by the University, or reimbursed by the affiliated institution. Faculty employees so assigned shall retain all the rights and privileges of regular faculty employees as described in the *Governing Regulations* and *Administrative Regulations* and are subject to all applicable University policies and procedures. Salary funding arrangements shall be defined by contract.
3. Named Professorships – Individuals appointed to named professorships shall meet all criteria for the rank of Professor and shall have acquired national recognition for excellence in instruction, research and other creative activity, or service in their disciplines. While normally reserved for exceptional professors, a named professorship may be granted to an exceptional associate professor. Each named professorship will provide specifically identified resources for program support of a professor, and it is ordinarily expected that a significant portion of the compensation and program support allocations will come from endowment income or extramural gifts (see AR 8:4). In exceptional circumstances (e.g., the recruitment or retention of a member of the National Academy of Science) named professorships may be submitted by the President to the Board of Trustees for approval for which funding may derive from revenue sources other than endowment income or extramural gifts.
4. Emeritus/Emerita Faculty - Upon retirement, tenured faculty members shall retain their titles with the designation of “emeritus” or “emerita” (e.g., Professor Emeritus). Faculty employees with emeritus/emmerita status are entitled to the following rights and privileges: to be included in faculty lists in University bulletins and, upon request, to be provided a mailbox in the appropriate educational unit; to be assigned office and/or laboratory space and furnished supplies for creative work (upon request, subject to availability and approval of the concerned educational unit); to have faculty library privileges; to apply for research grants and publication subsidies funded by the Office of the Vice President for Research; to receive University identification cards; to receive parking privileges as specified in University parking policies; to participate, upon invitation by the respective unit faculty, as non-voting members of departmental or college faculties; to use University recreational facilities upon presentation of suitable identification; to purchase tickets to athletic events with previous priority status; to hold membership in the University of Kentucky Federal Credit Union; to make purchases at the University Bookstore at the employee discount rate; to participate in academic processions; to be appointed to represent the University at academic ceremonies at other institutions; to receive notices of University events; and to take part generally with the faculties in all social and ceremonial functions of the University.
5. Temporary Faculty Employees - An individual whose assigned duties and responsibilities should be completed within one year or less may be appointed as a faculty employee on a temporary basis. Temporary appointees are not eligible for tenure; however, time spent in a full-time faculty

appointment on a temporary basis at the University of Kentucky may be counted as a part of the individual's probationary period should the individual subsequently be appointed to a regular, full-time position in a tenure-eligible title series. Temporary faculty employees are not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs.

- (a) Visiting Faculty - The designation "visiting" before an academic title indicates that the individual who holds an appointment at an academic institution or research center has been offered a temporary appointment for an academic year, semester, summer session, or other specified term not to exceed one year. The visiting title used should be appropriate to the appointee's home base academic rank (i.e., Visiting Professor, Visiting Associate Professor, Visiting Assistant Professor, or Visiting Instructor). Where the usual academic rank or title does not appear to be suitable, the title "Visiting Lecturer" shall be used. The final decision on such an appointment is made by the Provost upon recommendation of the educational unit administrator and the dean without reference to an Academic Area Advisory Committee. A visiting appointment is typically full-time, either salaried or unsalaried. The appointment is temporary, by definition, and the visitor is not eligible for faculty benefits. A visiting faculty employee with a salaried full-time appointment is not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs. Visiting faculty are not eligible for membership in the University Senate, but faculty membership, with or without voting privileges, may be extended to visiting faculty by the faculty of the educational units to which they are academically appointed. Visiting faculty are not eligible for tenure; however, time spent in a full-time appointment on a visiting basis at the University of Kentucky may be counted as a part of the individual's probationary period should the individual subsequently be appointed to a regular, full-time position in a tenure-eligible title series.
- (b) Part-time Faculty - Part-time faculty employees have an official faculty appointment, receive a salary, and participate substantially, but less than full-time, in the program of an educational unit. The dean makes the final decision on appointments of part-time faculty employees at any rank. The appointment shall be for one year or other stated period not to exceed one year, subject to renewal. Appointees are not eligible for tenure, sabbatical leave, or membership in the University Senate. Appointees are not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs. Faculty membership, with or without voting privileges, may be extended to part-time faculty employees by the faculty of educational units to which they are academically appointed.

## IV. The Comprehensive Tenure Review

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In a comprehensive tenure review, a dossier is reviewed at multiple levels of the University (educational unit, college advisory committee and dean, academic area advisory committee and Provost), irrespective of the judgment, favorable or not, at the previous level of review. Considerable deference in tenure cases shall be shown by the Provost to the judgments emanating from the college, especially in cases where the Provost has determined that those college-level judgments (unit faculty, educational unit administrator, college advisory committee and dean) are nearly unanimous, either for or against the granting of tenure. The responsibilities of the Board of Trustees in tenure cases are codified in section X of this *Administrative Regulation*. The exercise of a comprehensive tenure review shall not affect a faculty person's right to appeal a tenure decision on the grounds of procedure, privilege and/or academic freedom, as provided below (see section XI.B below), or to appeal as provided in the *Governing Regulations* (GR I.I).

A tenure-eligible faculty employee is entitled to one (1) comprehensive tenure review, which shall be completed no later than the end of the next-to-last year of the probationary period. A comprehensive tenure review shall also be extended to a new faculty employee whose initial appointment at the academic rank of Associate Professor or Professor proposes immediate tenure. In addition, a comprehensive tenure shall be extended to a new faculty employee whose initial tenure-eligible appointment stipulates Professor (without

tenure) and whose educational unit initiates a tenure review, and not a non-renewal of appointment, in the first year of service (see section VII.A.6 below).

## V. Tenure Considerations during the Terminal Contract Year

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- A. By waiving his or her right to a comprehensive tenure review in the next-to-last year of the probationary period (see section VII.A.4 below), a faculty employee forfeits his or her right to a comprehensive tenure review. However, the possibility of consideration for tenure during the terminal contract year, subject to the terms stated in section V.B, immediately below, is not abridged.
- B. After consultation with the unit faculty, an educational unit administrator may initiate a request to the dean for tenure consideration on behalf of a faculty employee who was placed on terminal contract either after a comprehensive tenure review or after waiving his or her right to a comprehensive tenure review (see section VII.A.4 below). If the dean finds insufficient evidence to warrant a new tenure consideration, the dean shall deny the request and notify the educational unit administrator that a terminal year consideration of tenure shall not be initiated. If the dean determines that the evidence in support of a favorable tenure decision has substantially strengthened, the dean may grant the request and authorize the educational unit administrator to initiate the review.

Once initiated, the terminal year tenure review shall be conducted in accordance with the procedural steps enumerated in sections VII-XIII below, except that the review process shall be stopped and the specified parties notified, if the dean renders a negative judgment on the tenure proposal. Prior to making his or her judgment, the dean and Provost shall obtain a written recommendation from the specified faculty advisory committee (see sections VIII.B.2 and IX.B.1 below).

## VI. Tenure Review Prior to the Sixth Year

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An educational unit administrator may initiate a tenure review prior to the sixth year of probationary service if, in the opinion of the tenured faculty of the educational unit and the unit administrator, the individual's record of accomplishment across all areas of assignment is commensurate with the award of tenure. (The act of soliciting letters by the educational unit administrator from reviewers external to the University shall constitute the initiation of a tenure review.) The review shall follow the policies and procedures that govern the conduct of the sixth-year (tenure) review, as delineated in Section IV above and Sections VII-XIII below. However, unlike a tenure review conducted in the sixth year of the probationary period, a tenure review initiated prior to the sixth year can be suspended by the dean. The dean shall notify in writing the educational unit administrator of his or her decision to suspend the tenure review and indicate that the individual under review shall be entitled to an ordinary reappointment review at the appropriate time in that contract period and in subsequent contract periods.

A faculty employee whose tenure review has been suspended by the dean shall not be eligible for a subsequent tenure review until the sixth year of his or her probationary period. A sixth-year comprehensive tenure review of an individual whose previous tenure review was suspended by the dean shall be conducted according to the policies and procedures delineated in Sections IV above and VII-XIII below. The educational unit administrator shall include in the sixth-year (tenure) dossier, in addition to the external letters solicited for the comprehensive tenure review itself, those evaluative letters from the previously suspended tenure review that were submitted by reviewers external to the University.

## VII. Procedural Steps Occurring at the Level of the Educational Unit

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### A. Initiating the Review Process

1. Recommendations for appointment, reappointment, terminal reappointment, joint appointment, post-

retirement appointment, decision not to reappoint, promotion and the granting of tenure, concerning faculty of any rank or title series, shall be initiated by the educational unit administrator.

2. Reviews for reappointment or granting tenure shall be completed in time for the affected faculty employee to be notified of the result in accordance with GR X, section B.1(e). Except for circumstances identified in GR X, sections B.1 (f) and (i), a faculty employee being considered for the granting of tenure shall not be asked to sign a terminal reappointment contract prior to a final decision by the Provost to disapprove tenure.
3. During the second year at the rank of Instructor, the individual shall be considered for promotion or terminal reappointment effective in the third year, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a terminal reappointment.
4. An assistant professor shall be considered for promotion and tenure no later than the next-to-last year of a probationary period, unless the individual requests in writing that such consideration not be done because of the intent to resign or willingness to accept a terminal reappointment.
5. An associate professor without tenure may be considered for tenure at any time prior to the next-to-last year of the stated probationary period. However, a tenure-eligible associate professor shall be considered for tenure no later than the next-to-last year of a probationary period, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a terminal reappointment.
6. A tenure-eligible professor shall be considered for tenure in the first half of a one-year probationary period, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a notice of non-renewal of appointment.

B. Consultations Conducted by the Educational Unit Administrator

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

C. Consultation with Applicants and New Faculty

1. Either before or at the time of interview of an individual for a faculty appointment, the educational unit administrator shall inform the individual about those parts of the Governing Regulations and the Administrative Regulations that deal with appointment, reappointment, promotion and tenure and shall provide access to these regulations as requested. At the time an appointment is offered, an individual shall be informed of the criteria for academic ranks by the educational unit administrator.
2. The educational unit administrator shall inform all new faculty employees, including temporary faculty employees, (within one month of the beginning of their employment) of the existence and locations of the following University documents: (a) the *Governing Regulations*; (b) the *Administrative Regulations*; (c) the Rules of the University Senate, in particular the Faculty Code; (d) the rules and procedures of their college; (e) the rules and procedures of their educational unit; and (f) the Student Rights and Responsibilities. Access to any of these documents shall be provided by the educational unit administrator as requested.

D. Consultation with the Faculty Candidate for Promotion or Tenure

Prior to the initiation of a recommendation concerning tenure for an individual during the next-to-last-year of a probationary period, the educational unit administrator shall consult with the faculty employee as to whether the individual waives the exercise and thereby stops the consideration. Any such waiver shall be in writing to the dean and the dean shall offer the individual a terminal reappointment. An

assistant professor or associate professor with tenure whose promotion to a higher rank has not been considered by an academic area advisory committee for a period of six years may request such consideration by September 1 of the seventh or a subsequent year. The educational unit administrator shall make the individual aware of the option to submit such a request.

#### E. Assembly of the Dossier

1. The educational unit administrator is responsible for the assembly of a dossier associated with a faculty personnel recommendation. The dossier is prepared from materials in the Standard Personnel File (see below) and from additional materials supplied by the educational unit administrator and faculty employee. The dossier contents necessary for most faculty personnel actions other than annual faculty performance review are specified in Appendix II (Dossier Contents). In the preparation of a joint appointment dossier, the educational unit administrator in the secondary department shall develop the dossier for the secondary appointment.
2. All written judgments from consulted individuals shall be obtained only through the request of the educational unit administrator.
3. Pursuant to Kentucky Revised Statutes KRS 61.878(3), the written judgments of persons consulted in connection with appointments, terminal reappointments, promotions, and tenure decisions shall be handled in a confidential manner but, upon request, the candidate has the right to review all letters placed in the individual's dossier. The writers of such judgments shall be notified when their judgments are solicited that the candidate, upon his or her request, shall be granted access to all letters placed in the individual's dossier.
4. No materials will be made part of a faculty employee's dossier other than those described above and specified in Appendix II (Matrix of Dossier Contents), except with the written permission of the faculty employee under review.

#### F. The Standard Personnel File

1. There shall be one Standard Personnel File maintained for each faculty employee. The Standard Personnel File contains the Notice of Academic Appointment and Assignment form, curriculum vitae, the teaching credentials certification form and, if appropriate, the teaching credentials justification form, and transcripts of academic work leading to advanced degrees. This personnel file also contains many of the crucial materials, particularly evaluation materials, needed for or taken from the dossier, which are defined below. The file contains Distributions of Effort forms, correspondence between the individual and educational unit administrator concerning academic employment conditions and salary, faculty merit or other evaluation reports, evaluations prepared by committees and those of educational unit administrators, and all other professional evaluation reports. The file shall also contain materials related to responsibilities that the faculty employee has to governmental or other agencies. The file contains regularly updated assessments of effectiveness in instruction, research and other creative activity, and service.
2. The Standard Personnel File shall be updated regularly and in particular completed by actions of the educational unit administrator, and also actions of the faculty employee. The faculty employee shall update his or her curriculum vitae annually and such other documents as he or she deems appropriate. The educational unit administrator shall update files as necessary to keep them reasonably current.
3. Unsolicited materials relevant to professional function may be included in the Standard Personnel File by the educational unit administrator provided the faculty employee sees them and is offered the opportunity to document his or her response to them. The faculty employee's written responses shall be placed by the educational unit administrator in the individual's Standard Personnel File.

4. The Standard Personnel File shall be kept in the office of the educational unit administrator or in the office of the dean as deemed appropriate for each educational unit by the dean. No other Standard Personnel File shall be kept. The Standard Personnel File shall always be available to the faculty employee and to such other persons who he or she authorizes in writing to see that file. The Standard Personnel File is always accessible to the educational unit administrator or higher administrative officer who is responsible for its maintenance and to such administrator's superior to him or her who request access to the file.
5. The Standard Personnel File may contain communications to or from the faculty employee, solicited or unsolicited letters or memos relating to professional function, which are not relevant to consideration for promotion or the granting of tenure.

#### G. Consultation with the Faculty in the Educational Unit

1. An educational unit administrator shall consult with appropriate faculty employees of the unit in preparing recommendations for appointments, reappointments, promotion and/or the granting of tenure, as delineated above, such consultation being in accordance with GR Part VII, section B.5. See also Appendix I (Matrix of Consultations and Written Judgments).
2. The following provisions apply to the solicitation of outside letters by the educational unit administrator:
  - (a) A promotion or tenure dossier shall include a minimum of six (6) letters of evaluation from qualified persons outside the University. These outside letters are crucial in promotion and tenure reviews.
  - (b) The letters from outside of the University shall be obtained by the educational unit administrator directly from appropriately qualified persons selected in part from, and in part independent of, suggestions of the individual being considered for promotion or tenure.
  - (c) At least four (4) of the letters from outside of the University shall come from reviewers selected by the educational unit administrator independent of the candidate for promotion or tenure.
  - (d) Outside letters from scholars at research-oriented universities shall be given the most serious consideration, except in promotion and tenure reviews involving faculty employees whose assignments do not include significant research responsibilities. Where deemed appropriate by the unit administrator, letters from persons affiliated with prestigious non-academic institutes, centers or specialized schools may be used.
  - (e) The letters from outside of the University shall be accompanied in a promotion and/or tenure dossier by a written statement by the educational unit administrator indicating for each letter whether or not the name of the respondent had been suggested by the individual under consideration and, if known, whether or not the respondent had been a previous faculty colleague of the individual.
3. The educational unit administrator shall notify the consulted faculty employees when the dossier is available for their review. All letters from outside of the University received shall be included in the dossier and made available to consulted faculty employees prior to their providing individual written judgments to the educational unit administrator. The consulted faculty employees shall be expected to read and consider the contents of the dossier, including the outside letters, on matters of appointment, reappointment, promotion and/or the granting of tenure, before providing individual written judgments to the educational unit administrator.

#### H. Recommendation of the Educational Unit Administrator to the College Dean

The educational unit administrator shall add to the dossier all written judgments received from the unit faculty, and his or her written recommendation, and forward that completed dossier to the dean. Where disagreement occurs between the educational unit administrator and the consulted educational unit faculty concerning a recommendation, the educational unit administrator shall report this difference with adequate documentation to the dean and also notify the consulted unit faculty regarding such action.

## VIII. Procedural Steps Occurring at the Level of the College

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### A. Completeness of the Dossier

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

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

1. Each college with at least two educational units (e.g., departments, schools and graduate centers) within the college shall have a college advisory committee comprised of tenured faculty members from the college faculty, excluding educational unit administrators and assistant/associate deans. The college advisory committee shall be concerned with policy matters on, and individual cases related to, faculty appointment, reappointment, promotion and the granting of tenure. Its members may be elected by the college faculty, or appointed by the dean after consultation with an appropriate faculty body of the college as documented in the College Rules. Upon prior recommendation by the college faculty and approval of the dean and the Provost, a large college comprised of multiple departments representing a diversity of academic disciplines may establish multiple college advisory committees. Such an arrangement shall be documented in the College Rules.
2. Prior to making a recommendation or decision on terminal reappointments or decisions not to reappoint, the dean shall provide the dossier to the college advisory committee, and obtain its written recommendation.
3. The dean shall also obtain a written recommendation from the college advisory committee whenever an assistant professor, associate professor, or professor is considered for promotion and/or tenure.
4. A written recommendation from the college advisory committee shall also be sought for initial appointments at the ranks of associate professor or professor.
5. A member of a college advisory committee or an academic area advisory committee shall be excluded from any participation in that committee's consideration of a recommendation initiating from the educational unit in which the faculty employee holds a primary academic appointment. He or she shall participate fully in the unit-level evaluation of those candidates. Persons shall not serve at the same time as a member of both a college advisory committee and an academic area advisory committee.

### C. Actions Taken by the Dean

1. The dean of a college shall make the final University decision to approve or disapprove a recommendation for those actions specified in Appendix III (Matrix of Authority of the Dean) as being delegated to the dean's final authority. The dean shall notify the candidate in writing of the action taken, with a copy of that notification to the educational unit administrator, and as specified in Appendix III the dean shall communicate the action taken through the Provost to the President to be

reported to the Board of Trustees.

2. If a dean disapproves an educational unit administrator's recommendation for reappointment at any rank and offers a terminal reappointment instead, but the tenured members of the unit faculty reaffirm their positive judgment by majority vote and the educational unit administrator reaffirms his or her positive recommendation for reappointment, the Provost shall refer the matter to the pertinent academic area advisory committee.
3. In actions for which the dean is not delegated final approval (see Appendix III), the dean shall obtain, as appropriate, the written recommendation from the college's advisory committee, and then act upon the recommendation from the educational unit administrator. If the dean approves a positive recommendation or overturns a negative recommendation of the educational unit administrator, the dean's written recommendation and the written recommendation of the college advisory committee shall both be added to the dossier and forwarded to the Provost.
4. In cases involving a comprehensive tenure review, the dean shall first obtain the written recommendation from the college's advisory committee on the tenure recommendation of the educational unit administrator. The dean shall then reach a judgment on the recommendation from the educational unit administrator. Finally, the dean shall add to the dossier both the written recommendation of the college's advisory committee and the dean's written recommendation, and forward the dossier to the Provost.

## IX. Procedural Steps Occurring at the Level of the Provost

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### A. Completeness of the Dossier

The Provost shall ensure that the dossier is complete and procedurally compliant. (Appendix II) If the dossier is not complete or if there is procedural noncompliance, the Provost shall direct the dean to secure the missing materials or the procedural compliance and, as appropriate, to allow the consulted unit faculty, the educational unit administrator, the college advisory committee, and the dean to examine the materials and contribute new consultative input or to submit new written judgments or recommendations.

### B. Recommendations from Academic Area Advisory Committee

1. The Provost shall forward the dossier to the appropriate academic area advisory committee for all cases involving appointment at, or promotion to the rank of Associate Professor or Professor, or the granting of tenure. In those cases that have not received near-unanimous support from all lower-level reviewers (external letter writers, unit faculty and educational unit administrator, college advisory committee and dean) the Provost shall require a written evaluation from the academic area advisory committee. The academic area advisory committee may elect to submit to the Provost a written evaluation on any case assigned to that committee. If the Provost is inclined to render a negative judgment on a case that has received near-unanimous support from all lower-level reviewers, but which has not been recommended on by an academic area advisory committee, the Provost shall first obtain a written recommendation from an academic area advisory committee.
2. For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit administrator's concurrence for reappointment, the Provost shall refer the matter to the appropriate academic area advisory committee for an independent written evaluation. The committee in its deliberations shall address itself to the individual's scholarly potential, ability as an instructor, and other professional qualifications indicative of a probable eventual tenured appointment and shall submit a written recommendation to the Provost.

3. An academic area advisory committee may request the written advice of an ad hoc committee (appointed by the Provost) for further evaluation before returning the dossier with the ad hoc committee's written advice, and the academic area advisory committee's written recommendation, to the Provost.

#### C. Actions Taken by the Provost

1. The Provost shall make the final University decision to approve or disapprove a recommendation concerning Visiting Title Series faculty and promotion to Senior Lecturer. The Provost shall communicate approval through the President to the Board of Trustees and convey the substance of his or her final action (approval or disapproval) in writing to the dean. The dean shall notify the candidate in writing with a copy of that notification to the educational unit administrator.
2. For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit administrator's concurrence for reappointment, the Provost shall refer the matter to the pertinent academic area advisory committee and request a written recommendation. After reviewing the dean's recommendation, the material forwarded through the dean from the educational unit and the written recommendation from the academic area advisory committee, the Provost shall either approve the proposal for terminal reappointment and report the action through the President to the Board of Trustees and notify the dean in writing, or disapprove and stop the terminal reappointment proposal and notify the dean in writing of the Provost's decision for reappointment. The dean shall notify the candidate in writing of the Provost's decision, with that notification by the dean being copied to the educational unit administrator.
3. For proposals involving the consideration of initial appointment (with or without tenure), reappointment, promotion, or the granting of tenure in the terminal year of a probationary period, the Provost shall review the dossier and all recommendations and either make a positive recommendation through the President to the Board of Trustees, which shall take final action, or disapprove, stop the personnel action and notify the dean. The dean shall notify the candidate in writing with a copy of that notification to the educational unit administrator.
4. In cases involving a comprehensive tenure review, the Provost shall first consider the written recommendation, if any, from the appropriate academic area advisory committee (see section VIII.B.1). The Provost shall then reach a judgment on the recommendation of the dean and either make a positive recommendation on the tenure case through the President to the Board of Trustees, which shall take final action, or disapprove, stop the tenure review and notify the dean. The dean shall notify the candidate in writing with a copy of that notification to the educational unit administrator.

## X. Procedural Steps Occurring at the Level of the Board of Trustees

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- A. The Board of Trustees shall take final action on the proposal by approving or disapproving the Provost's recommendation. The President, through the Provost, shall inform the dean in writing of the Board's action. The dean shall notify the candidate in writing with a copy of that notification to the educational unit administrator.
- B. The Notice of Academic Appointment and Assignment form constitutes the official appointment record. With the exception of salary, the precise terms and conditions covering each appointment shall be stated in writing on that form. The appointment, including salary, becomes final when it is approved by or reported to the Board of Trustees.
- C. Notice of reappointment for tenure-eligible faculty shall be processed in a timely manner, preferably at least three months before the renewed appointment begins. It shall be the responsibility of the Provost

to ensure compliance with this regulation.

- D. The ending date of the probationary period in a tenure-eligible appointment shall be set by the dean prior to signing the initial Notice of Academic Appointment and Assignment form and shall not exceed seven years from date of initial appointment, except as permitted in GR X, section B.1(c). Previous full-time service with the rank of Instructor or higher at another institution of higher learning may be counted as part of the probationary period as negotiated between the appointee and the dean prior to initial appointment. Time spent in a full-time faculty appointment on a visiting or temporary basis at the University of Kentucky may be counted as a part of the individual's probationary period, as negotiated between the appointee and the dean, should the individual subsequently be appointed to a regular, full-time faculty position in a tenure-eligible title series.

## XI. Procedural Steps Involving a Negative Recommendation to Reappoint, Promote, or Grant Tenure

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- A. Whenever a recommendation is disapproved at any level, this fact shall be reported back to the preceding level(s) and an opportunity provided for a thorough discussion of the recommendation among the concerned parties.
- B. Any related formal appeal(s) to the President concerning procedural matters or privilege or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom shall be initiated in writing by the faculty employee within 60 days after being notified in writing by the dean of the disapproval of the recommendation to reappointment, promote or grant tenure. When such an appeal to the University Senate Advisory Committee on Privilege and Tenure has been initiated in writing by a faculty employee, the chair of that committee shall inform the appropriate dean and Provost of that development.

## XII. Final Disposition of the Dossier

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At the conclusion of processes leading to negative decisions about appointments, reappointments, promotions or the granting of tenure, the dossier shall remain intact during the sixty (60) day period for filing an appeal, or, in cases where a formal appeal has been filed, until such time that a final decision has been rendered. Thereafter, the dossier shall not be retained, although all evaluative letters and reports or reviews contained in the dossier shall be added to the faculty employee's Standard Personnel File. Representative examples of research and other creative activity included in the dossier as it was developed shall be returned to the faculty member for his or her retention. The teaching portfolio, or teaching materials submitted by the faculty employee, shall also be returned to the faculty employee.

## XIII. References and Related Materials

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### Governing Regulations:

Part I: The University of Kentucky (Definition)

Part VII: University Organization

Part X: Regulations Affecting Employment

### Administrative Regulations:

2:2-1 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure

2:2-2 Appointment, Reappointment, Promotion, and the Granting of Tenure in the Regular Title Series

2:3 Appointment, Reappointment, Promotion, and the Granting of Tenure in the Extension Title Series

2:4 Appointment, Reappointment, Promotion, and the Granting of Tenure in the Special Title Series

2:5 Appointment, Reappointment, and Promotion in the Research Title Series  
2:6 Appointment, Reappointment, and Promotion in the Clinical Title Series  
2:7 Appointment, Reappointment, Promotion, and the Granting of Tenure in the Librarian Series  
2:8 Appointment, Reappointment, and Promotion in the Adjunct Series  
2:9 Lecturer Series Faculty  
2:10 Voluntary Series Faculty; 8:4 Policies Governing Private Funding of Academic Positions  
8:4 Policies Governing Private Funding of Academic Positions

## Revision History

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AR II-1.0-1: 3/27/1991, 8/20/1992, 4/30/1993, 1/25/1994, 11/24/1995, 7/1/1998, 8/18/1998, 1/11/1999,  
7/27/2000

AR II-1.0-1, Parts I-III: 7/01/2008

AR 2:1-1: 7/01/2009

For questions, contact: [Office of Legal Counsel](#)

## Appendices

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- A. [Appendix I – Matrix of Consultation and Written Judgments](#)
- B. [Appendix II – Dossier Contents](#)
- C. [Appendix III – Matrix of Authority of the Dean](#)



# Procedures for Faculty Appointment, Reappointment, Promotion and the Granting of Tenure

## Major Topics

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### [Faculty Appointment Types](#)

#### Procedural Steps

##### [Educational Unit](#)

##### [Standard Personnel File](#)

##### [College](#)

##### [Provost](#)

##### [President](#)

##### [Board of Trustees](#)

##### [Appeal of Negative Recommendation](#)

### [Appendices](#)

## I. Introduction

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A University capable of educating its students for work and citizenship in the twenty-first century must have an outstanding faculty. These procedures and criteria have been developed for the purpose of continually improving the quality and performance of the faculty in order to enhance the quality of the University's programs and permit the University to achieve its multiple missions.

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

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

Before selecting a faculty employee, the educational unit must ensure that it has followed the established hiring policies and practices of the college, as codified in the *Rules of the College*, and all *Governing and Administrative Regulations* on appointments.

## II. Sources of Procedures and Criteria for Appointment and Advancement

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### A. Procedures

The procedures to be used in each educational unit for preparing recommendations for appointment, promotion, and granting of tenure shall be those established by the University, the college and the faculty of the educational unit (GR Part VII, section B). The University procedures are those established in the *Governing Regulations*, the *Administrative Regulations* and as may be further elaborated by the Provost. In addition to those procedures prescribed here, college-level procedures may be established by the dean in consultation with the college faculty (GR Part VII, section A.4). Additional procedures at the unit level are established jointly by the department chair, graduate center director, school director (when the school does not contain departments), or the dean in a college without departments or schools (referred to hereafter as the “educational unit administrator”) and the faculty of the educational unit (GR Part VII, sections A.5, 6, and 7).

### B. Criteria and Evidences of Activity

1. The University-level criteria and evidences of activity to be used in evaluations for appointment, reappointment, promotion, and tenure for the various faculty title series are specified in various sections of the *Administrative Regulations* as indicated below:
  - (a) Regular Title Series (see AR 2:2-1 and 2:2-2)
  - (b) Extension Title Series (see AR 2:3)
  - (c) Special Title Series (see AR 2:4)
  - (d) Research Title Series (see AR 2:5)
  - (e) Clinical Title Series (see AR 2:6)
  - (f) Librarian Series (see AR 2:7)
  - (g) Adjunct Title Series (see AR 2:8)
  - (h) Emeritus Faculty (see sub-section II.C.4 below)
  - (i) Voluntary Title Series - Criteria for academic ranks of voluntary faculty shall be approved by the Provost (see AR 2:9)
  - (j) Lecturer Series – Unit criteria and evidences, and procedures for appointment, reappointment, promotion, and merit review of Lecturers shall be established by those educational units that employ full-time Lecturer faculty and submitted to the dean of the college for approval. (see AR 2:10)
2. In addition to the above, each unit’s faculty may develop policy statements describing the evidences of activity in instruction, research and other creative activity, and service that are appropriate to their field(s), for use in guiding evaluations for promotion and tenure. The departmental statement is operative in the unit upon approval by the dean (GR Part VII, section A.6.c). If no such statements are approved for a unit, then only the specifications of the University level regulations shall be used for evaluation.

### C. Other Faculty Appointments

1. Joint Appointments – The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment should be processed independently and considered on its own merits. An individual's academic rank, though usually the same, may differ in the constituent appointments (see GR Part X, section B.1(a)(ii)).
2. Faculty Employee Assignments at the Veterans Affairs and other academically affiliated non-UK hospitals and clinics – There are occasions when a regular faculty employee may be assigned to work at the Veterans Affairs or another non-UK hospital or clinic pursuant to an academic affiliation agreement. In such cases, salaries may be paid partially or totally, or reimbursed by the affiliated institution. Faculty employees so assigned shall retain all the rights and privileges of regular faculty as described in the *Governing Regulations* and *Administrative Regulations* and are subject to all applicable University policies and procedures. Salary funding arrangements shall be defined by contract.
3. Named Professorships – Individuals appointed to named professorships shall meet all criteria for the rank of Professor and shall have acquired national recognition for excellence in instruction, research and other creative activity, or service in their disciplines. While normally reserved for exceptional professors, a named professorship may be granted to an exceptional associate professor. Each named professorship will provide specifically identified resources for program support of a professor, and it is ordinarily expected that a significant portion of the compensation and program support allocations will come from endowment income or extramural gifts (see AR 8:4). In exceptional circumstances (e.g., the recruitment or retention of a Member of the National Academy of Science) named professorships may be submitted by the President to the Board of Trustees for approval for which funding may derive from revenue sources other than endowment income or extramural gifts.
4. Emeritus Faculty - Upon retirement, tenured faculty members shall retain their titles with the designation of “emeritus” (e.g., professor emeritus). Faculty members with emeritus status are entitled to the following rights and privileges: to be included in faculty lists in University bulletins and, upon request, to be provided a mailbox in the appropriate department; to be assigned office and/or laboratory space and furnished supplies for creative work (upon request, subject to availability and approval of the concerned educational unit); to have faculty library privileges; to apply for Research Committee grants and publication subsidies; to receive University identification cards; to receive parking privileges as specified in University Parking Regulations; to attend, without voting privileges, meetings of the University Senate; to participate, upon invitation, as non-voting members of departmental or college faculties; to use University recreational facilities upon presentation of suitable identification; to purchase tickets to athletic events with previous priority status; to hold membership in the University of Kentucky Federal Credit Union; to make purchases at the University Bookstore at the employee discount rate; to participate in academic processions; to be appointed to represent the University at academic ceremonies at other institutions; to receive notices of University events; and to take part generally with the faculties in all social and ceremonial functions of the University.
5. Temporary Faculty - An individual whose assigned duties and responsibilities should be completed within one year or less may be appointed as a faculty employee on a temporary basis. Temporary appointees are not eligible for tenure; however, time spent in a full-time appointment on a temporary basis at the University of Kentucky may be counted as a part of the individual's probationary period should the individual subsequently be appointed to a regular, full-time position in a tenure-eligible title series. Temporary faculty employees are not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs.
  - (a) Visiting Faculty - The designation "visiting" before an academic title indicates that the individual who holds an appointment at an academic institution or research center has been offered a temporary appointment for an academic year, semester, summer session, or other specified term not to exceed one year. The visiting title used should be appropriate to the appointee's home base academic rank (i.e., visiting professor, visiting associate professor, visiting assistant

professor, or visiting instructor). Where the usual academic rank or title does not appear to be suitable, the title "visiting lecturer" shall be used. Such an appointment is approved by the Provost upon recommendation of the educational unit administrator and the dean without reference to an Academic Area Advisory Committee. A visiting appointment is typically full-time, either salaried or unsalaried. The appointment is temporary, by definition, and the visitor is not eligible for faculty benefits. A visiting faculty employee with a salaried full-time appointment is not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs. Visiting faculty are not eligible for membership in the University Senate, but faculty membership, with or without voting privileges, may be extended to visiting faculty by the educational units to which they are assigned. Visiting faculty are not eligible for tenure; however, time spent in a full-time appointment on a visiting basis at the University of Kentucky may be counted as a part of the individual's probationary period should the individual subsequently be appointed to a regular, full-time position in a tenure-eligible title series.

- (b) Part-time Faculty - Part-time faculty employees are those who have an official faculty appointment, receive a salary, and participate substantially, but less than full-time, in the program of an educational unit. Appointments of part-time faculty members by the appropriate deans, without reference to an Academic Area Advisory Committee, shall be for one year or other stated period not to exceed one year, subject to renewal. Appointees are not eligible for tenure, sabbatical leave, and membership in the University Senate. Appointees are not eligible for University contributions toward employee benefits, but may participate at their own expense in certain University benefit programs. Faculty membership, with or without voting privileges, may be extended to part-time faculty employees by the educational units to which they are assigned.

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

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#### A. Initiating the Review Process

1. Recommendations for appointment, reappointment, terminal reappointment, joint appointment, post-retirement appointment, non-renewal of appointment, promotion and the granting of tenure concerning faculty of any rank or title series, shall be initiated by the educational unit administrator.
2. Reviews for promotion or granting tenure shall be completed in time for the affected faculty employee to be notified of the result in accordance with GR Part X, section B.1(e).
3. During the second year at the rank of instructor, the individual shall be considered for promotion or terminal reappointment effective in the third year, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a terminal reappointment.
4. An assistant professor who is in the sixth or next-to-last year of a probationary period shall be considered for promotion and tenure, unless the individual requests in writing that such consideration not be done because of resignation or willingness to accept a terminal reappointment.
5. An associate professor on appointment without tenure may be considered for tenure at any time prior to the next-to-last year of the stated probationary period. However, a tenure-eligible associate professor shall be considered for tenure no later than the next-to-last year of a probationary period, unless the individual requests in writing that such not be done because of resignation or willingness to accept a terminal reappointment.
6. A tenure-eligible professor shall be considered for tenure in the first half of a one-year probationary period, unless the individual requests in writing that such not be done because of resignation or willingness to accept a notice of non-renewal of appointment.

## B. Consultations Conducted by the Educational Unit Administrator

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

## C. Consultation with Applicants and New Faculty

1. Either before or at the time of interview of an individual for a faculty appointment, the educational unit administrator shall inform the individual about those parts of the *Governing Regulations* and the *Administrative Regulations* that deal with appointment, promotion and tenure and shall provide access to these regulations as requested. At the time an appointment is tendered, an individual shall be informed of the criteria for academic ranks by the educational unit administrator.
2. The educational unit administrator shall inform all new faculty employees (within one month of the beginning of their employment) of the existence and locations of the following University documents: (a) the *Governing Regulations*; (b) the *Administrative Regulations*; (c) the *Rules of the University Senate*, in particular the Faculty Code; (d) the rules and procedures of their college; (e) the rules and procedures of their educational unit; and (f) the *Student Rights and Responsibilities*. Access to any of these documents shall be provided by the educational unit administrator as requested.

## D. Consultation with the Faculty Candidate for Promotion or Tenure

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

## E. Assembly of the Dossier and the Standard Personnel File

1. The educational unit administrator is responsible for the assembly of a dossier associated with a faculty personnel recommendation. The dossier is prepared from materials in the Standard Personnel File (see below) and additional materials supplied by the educational unit administrator and faculty employee. The dossier contents necessary for most faculty personnel actions other than annual faculty performance review are specified in Appendix II (Dossier Contents.) In the preparation of a joint appointment dossier, the educational unit administrator in the secondary department shall develop the dossier for the secondary appointment.
2. All written judgments from consulted individuals shall be obtained only through the request of the educational unit administrator.
3. Pursuant to Kentucky Revised Statutes KRS 61.878(3), the written judgments of persons consulted in connection with appointments, promotions, and tenure decisions are not confidential, and the writers of such judgments shall be notified accordingly.
4. There shall be one Standard Personnel File maintained for each faculty employee. The Standard Personnel File contains the Notice of Academic Appointment and Assignment, curriculum vitae, the teaching credentials certification form and, if appropriate, the teaching credentials justification form, and transcripts of academic work leading to advanced degrees. This personnel file also contains many of the critical materials, particularly evaluation materials, needed for or taken from the dossier,

which are defined below. The file contains Distributions of Effort, faculty merit or other evaluation reports, evaluations prepared by committees and those of educational unit administrators, and all other professional evaluation reports. The file shall also contain materials related to responsibilities that the faculty employee has to governmental or other agencies. The file contains regularly updated assessments of effectiveness in instruction, research and other creative activity, and service.

5. The Standard Personnel File shall be updated regularly and in particular completed by actions of the educational unit administrator, and also actions of the faculty employee. The faculty employee shall update his or her curriculum vitae annually and such other documents as he or she deems appropriate. The educational unit administrator shall update files as necessary to keep them reasonably current.
6. Unsolicited materials relevant to professional function may be included in the Standard Personnel File provided the faculty employee sees them and is offered the opportunity to document his or her response to them.
7. The Standard Personnel File shall be kept in the office of the educational unit administrator or in the office of the dean as deemed appropriate for each educational unit by the dean. No other Standard Personnel File shall be kept. The Standard Personnel File shall always be available to the faculty employee and to such other persons who he or she authorizes in writing to see that file. The Standard Personnel File is always accessible to the educational unit administrator or higher administrative officer who is responsible for its maintenance and to such administrator's superior to him or her who request access to the file.
8. The Standard Personnel File may contain communications to or from the faculty employee, solicited or unsolicited letters or memos relating to professional function, which are not relevant to consideration for promotion or the granting of tenure. These materials are included in the dossier sent forward for consideration only if the faculty employee so requests. Unsolicited items received by the educational unit administrator may be placed in the dossier provided the faculty employee sees them and is offered the opportunity to document into the dossier his or her response. No materials other than those described above and specified in Appendix II shall be incorporated into the contents of a faculty employee's dossier.

F. Consultation with the Faculty in the Educational Unit

1. An educational unit administrator shall consult with appropriate faculty employees of the unit in preparing recommendations for appointments as delineated above, such consultation being in accordance with *Governing Regulations* Part VII, section B.5. See also Appendix I (Matrix of Consultations and Written Judgments).
2. The educational unit administrator shall notify the consulted faculty employees when the dossier, including all outside letters, is available for their review. The consulted faculty employees shall be expected to read and consider the contents of the dossier, including the outside letters, before providing individual written judgments to the educational unit administrator on a recommendation to promote to associate professor or professor and/or the granting of tenure.
3. The following provisions apply to the solicitation of outside letters by the educational unit administrator:
  - (a) A promotion or tenure dossier shall include a minimum of six (6) letters of evaluation from qualified persons outside the University. Outside letters are crucial in tenure and promotion reviews.

- (b) The outside letters shall be obtained by the educational unit administrator directly from appropriately qualified persons selected in part from, and in part independent of, suggestions of the individual being considered for promotion or tenure.
- (c) At least four (4) of the outside letters shall come from reviewers selected by the educational unit administrator independent of the candidate for promotion or tenure.
- (d) Outside letters from scholars at research-oriented universities shall be given the most serious consideration, except in promotion and tenure reviews involving faculty employees whose assignments do not include significant research responsibilities. Where deemed appropriate by the unit administrator, letters from persons affiliated with prestigious non-academic institutes, centers or specialized schools may be included.
- (e) The outside letters shall be accompanied in the promotion or tenure dossier by a written statement by the educational unit administrator indicating for each letter whether or not the name of the respondent had been suggested by the individual under consideration and, if known, whether or not the respondent had been a previous faculty colleague of the individual.
- (f) All outside letters received shall be included in the dossier and made available to consulted faculty employees prior to their providing individual written judgments to the educational unit administrator.

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

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

## IV. Procedural Steps Occurring at the Level of the College

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A. Completeness of the Dossier

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

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

1. Each college shall have an advisory committee which is concerned with policy matters and individual cases related to faculty appointments, retention, promotion and tenure. It can be elected by the faculty, or established by the dean after consultation with an appropriate faculty body of the college that is identified by the college faculty in its College Rules document.
2. Prior to making a recommendation or decision on terminal reappointments or non-renewals of appointment, the dean shall provide the dossier to the committee, and obtain its written advice.
3. The dean shall also obtain a written recommendation from the advisory committee whenever an assistant professor, associate professor, or professor is considered for promotion or tenure.

4. It is recommended that such advice also be sought for initial appointments at the associate professor or professor rank.
5. A member of a college advisory committee or an Academic Area Advisory Committee shall be excluded from any participation in that committee's consideration of a recommendation initiating from the educational unit in which the faculty employee holds an academic appointment. He or she shall participate fully in the unit-level evaluation of those candidates.

### C. Actions Taken by the Dean

1. The dean of a college shall make the final University decision to approve or disapprove a recommendation for those actions specified in Appendix III (Matrix of Authority of the Dean) as being delegated to the dean's final authority. The dean shall inform the candidate in writing of the action taken, with a copy to the educational unit administrator, and as specified in Appendix III the dean shall communicate the action taken through the Provost to the President to be reported to the Board of Trustees.
2. If a dean disapproves an educational unit administrator's recommendation for reappointment at any rank and offers a terminal reappointment instead, but the tenured members of the unit faculty reaffirm their written judgment by majority vote and the educational unit administrator reaffirms his or her positive recommendation for reappointment, the Provost shall refer the matter to the pertinent Academic Area Advisory Committee.
3. In actions for which the dean is not delegated final approval (see Appendix III), the dean shall obtain, as appropriate, the written recommendation from the college's advisory committee, and then act upon the recommendation from the unit. If the dean approves a positive recommendation or overturns a negative recommendation of the educational unit administrator, the dean's recommendation, the dossier, including any written recommendation of the college advisory committee, shall be forwarded to the Provost.

## V. Procedural Steps Occurring at the Level of the Provost

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### A. Completeness of the Dossier

The Provost shall ensure that the dossier is complete and procedurally compliant. (Appendix II) If the dossier is not complete or if there is procedural noncompliance, the Provost shall direct the dean to secure the missing materials or the procedural compliance and, as appropriate, to allow the consulted unit faculty, the educational unit administrator, the college advisory committee, and the dean to examine the materials and contribute new consultative input or to submit new written judgments or recommendations.

### B. Recommendations from Academic Area Advisory Committee

#### 1. Academic Area Advisory Committee

- (a) The Provost shall forward the dossier to the appropriate area committee for all cases involving appointment at, or promotion to the rank of Associate Professor or Professor, or the granting of tenure. In those cases that have not received near unanimous support from all lower-level reviewers (external, unit faculty and educational unit administrator, college advisory committee and dean) the Provost shall require a written evaluation from the area committee. The area committee may elect to submit to the Provost a written evaluation on any case assigned to the area committee.

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

### C. Actions Taken by the Provost

1. The Provost shall make the final University decision to approve or disapprove a recommendation concerning visiting title series faculty and promotion to Senior Lecturer. The Provost shall communicate approval through the President to the Board of Trustees and convey the substance of his or her final action (approval or disapproval) in writing to the dean. The dean shall notify the candidate in writing with a copy to the educational unit administrator.
2. For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit administrator's concurrence for reappointment, the Provost shall consider the reports and recommendations and either approve the proposal for terminal reappointment and report the action through the President to the Board of Trustees and notify the dean, or disapprove and stop the proposal and inform the dean in writing of the Provost's decision for reappointment. The dean shall notify the candidate in writing with a copy to the educational unit administrator.
3. For all other cases involving the consideration of appointment, reappointment, promotion and the granting of tenure, the Provost shall review the dossier and all recommendations and either forward his or her positive recommendation to the President of the University, or stop the evaluation process and inform the dean of that decision. The dean shall notify the candidate in writing with a copy to the educational unit administrator.

## VI. Procedural Steps Occurring at the Level of the President

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

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

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- A. The Board of Trustees shall take final action on the proposal by approving or disapproving the President's recommendation. The President, through the Provost, shall inform the dean in writing of the Board's action. The dean shall notify the candidate in writing with a copy to the educational unit administrator.
- B. The Notice of Academic Appointment and Assignment form constitutes the official appointment record. With the exception of salary, the precise terms and conditions covering each appointment shall be stated in writing on that form. The appointment, including salary, becomes final when it is approved by or reported to the Board of Trustees.

Notice of reappointment for tenure-eligible faculty shall be processed in a timely manner, preferably at least three months before the renewed appointment begins. It shall be the responsibility of the Provost to ensure compliance with this regulation.

- C. The ending date of the probationary period in a tenure-eligible appointment shall be set prior to signing the initial Notice of Academic Appointment and Assignment form and shall not exceed seven years from date of initial appointment, except as permitted in GR Part X, section B.1(c). Previous full-time service with the rank of instructor or higher at another institution of higher learning may be counted as part of the probationary period as negotiated between the appointee and the dean prior to initial appointment.

## VIII. Procedural Steps Involving a Negative Recommendation to Reappoint, Promote or Grant Tenure

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- A. Whenever a recommendation is disapproved at any level, this fact shall be reported back to the preceding level(s) and an opportunity provided for a thorough discussion of the recommendation among the concerned parties.
- B. Any related appeal(s) to the Provost concerning procedural matters or privilege or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom shall be initiated in writing by the faculty employee within 60 days after being notified in writing of the disapproval of the recommendation to reappointment, promote or grant tenure. When such an appeal to the University Senate Advisory Committee on Privilege and Tenure has been initiated in writing by a faculty employee, the chair of the Committee shall inform the appropriate dean and Provost of the development.
- C. It is University policy not to provide written reasons in cases of non-renewal of appointment. However, upon the faculty employee's request, the dean of the college may meet with the faculty employee and discuss informally the circumstances surrounding the non-renewal. If the faculty employee is not satisfied with this conference, a related conference with the Provost may be requested.

## IX. Final Disposition of the Dossier

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At the conclusion of processes leading to negative decisions about appointments, reappointments, promotions or the granting of tenure, the dossier shall remain intact during the sixty (60) day period for filing an appeal, or, in cases where a formal appeal has been filed, until such time that a final decision has been rendered. Thereafter, the dossier shall not be retained, although all evaluative letters and reports or reviews contained in the dossier shall be added to the faculty employee's Standard Personnel File. Representative examples of research and other creative activity included in the dossier as it is forwarded shall be returned to the faculty member for his or her retention. The teaching portfolio, or teaching materials submitted by the faculty employee, shall also be returned.

## X. References and Related Materials

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Part VII: University Organization

Part X: Regulations Affecting Employment

### Administrative Regulations:

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## **Revision History**

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AR II-1.0-1, Part I-III: 3/27/1991, 8/20/1992, 4/30/1993 1/25/1994, 11/24/1995, 7/1/1998, 8/18/1998, 1/11/1999, 7/27/2000

For questions, contact: [Office of Legal Counsel](#)

## Appendices

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- A. [Appendix I – Matrix of Consultation and Written Judgments](#)
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# Appointment, Reappointment, Promotion, and the Granting of Tenure in the Regular Title Series

## Major Topics

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### [Areas of Activity](#)

### [General Criteria for Ranks](#)

## I. Areas of Activity

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Three areas of activity are important in the evaluation of faculty for appointment, reappointment, promotion, and the granting of tenure in the regular title series: (1) teaching, advising and other instructional activities; (2) research or other creative activity; (3) professional, University, and public service. Evaluation of a faculty employee's performance in each area of activity should be commensurate with his or her approved distribution of effort agreement. Excellence in teaching, advising and other instructional activities, research or other creative activity, and in professional, University and public service is expected.

All appointment, reappointment, promotion, and tenure actions shall be made on the basis of merit. Thus, the following detailed statements regarding each of these areas will serve as a guide for evaluating the accomplishments of a faculty member.

### A. Teaching, Advising, and Other Instructional Activities

1. Teaching involves creating a learning environment, as well as transmitting, transforming and extending knowledge. Superior teaching and advising shall be recognized as integral components of the evaluation for promotion and tenure as appropriate given the faculty employee's assignment. Educational activities extend far beyond the classroom, and the University of Kentucky acknowledges the importance of educating citizens, both on and off campus, as part of its land grant mission. Recognition also shall be given to a faculty employee's contribution to student welfare through service on student-faculty committees, as an advisor to student organizations, or other instructional activities enumerated in the Teaching Portfolio (AR 3:10). Teaching, advising, and other instructional activities shall be documented through the Teaching Portfolio.
2. Objective evidence of the quality of teaching shall be included in the final dossier. Such evidence should include: (a) reports by colleagues qualified in the field; (b) evaluations by students and, if available, graduates; and (c) when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration.
3. Colleges shall evaluate the quality as well as the quantity of academic advising done by each faculty employee. The results of this evaluation shall be considered in the annual performance review and

in the decisions concerning retention or promotion of each faculty employee.

#### B. Research and Other Creative Activity

1. Faculty employees have a responsibility for the creation of knowledge. Scholarship related to research or creative endeavors shall be original, of high quality, and validated by rigorous peer review. Communication of the work's significance to the scholarly community and to the public at large is a component of the mission of the University and, therefore, its evaluation is an integral part of the promotion and tenure process. The documented quality of research and/or creative scholarship shall be an integral component of the promotion and tenure evaluation process as appropriate given the faculty employee's assignment.
2. Evidence of recognition of research or creative activity and its long-lasting merit and worth is expected. Normally, publication in the form considered as appropriate for the field will constitute this evidence.
3. In addition to the more traditional methods of presentation, examples of creative scholarship include public performances and exhibitions, audio and visual recordings, applications of technical innovations and other products.

#### C. Professional, University and Public Service

1. A service component is a normal part of a faculty employee's obligation to the University. Formation of educational policy, participation in faculty governance, and effective performance of administrative duties, shall be taken into consideration in the evaluation process.
2. Faculty employee's are expected to engage in service related to their professional role as scholars for the benefit and development of local, state, national, international, and the University communities. Documented scholarship related to service that is directly associated with one's special field of knowledge, expertise, and professional role within the University shall be evaluated as positive evidence.
3. Citizenship activities of faculty employee's and projects unrelated to their professional roles in the University, while laudable, do not constitute evidence for academic appointment, reappointment, promotion, or the granting of tenure.

## II. Balance of Intellectual Attainment

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A major consideration in any appointment, reappointment, promotion, or the granting of tenure is superior achievement in the various activities discussed in the preceding paragraphs. The proportion of these activities will vary in terms of the individual's assigned distribution of effort and specialty. Ideally, individuals selected for tenure should demonstrate superiority in all of the major criteria discussed here as reflected in their assigned distribution of effort. Care must be taken to insure that outstanding performance in a single activity does not receive undue consideration in relation to the other factors that should be considered in evaluating academic excellence.

## III. General Criteria for Ranks

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The following general criteria for appointment and promotion serve as guidelines for persons involved in the decision process.

#### A. Assistant Professor

Appointment, reappointment, or promotion to the rank of assistant professor shall be made after it has been determined that the individual has earned the terminal degree appropriate to the field of assignment as recognized by the academic discipline, has capability for excellent instruction, research or other creative activity, and service, and demonstrates potential for significant growth.

#### B. Associate Professor

Appointment, reappointment, or promotion to associate professor shall be made only after a candidate has met the criteria for assistant professor and has demonstrated high scholarly achievements commensurate with his other assignment in areas of: (1) teaching, advising and other instructional activities; (2) research or other creative activity; (3) professional, university and public service. Particularly, an indication of continuous improvement and scholastic contributions should be evident as documented by the candidate. Further, the individual should have earned external recognition for excellence in her or his scholarly activities. Where appropriate, this recognition should be on a regional or national level as appropriate to the field of assignment.

#### C. Professor

Appointment, reappointment, or promotion to full professor shall be made only after a candidate has met the criteria for associate professor and has demonstrated high scholarly achievements commensurate with his or her assignment in areas of: (1) teaching, advising, and other instructional activities; (2) research or other creative activity; (3) professional, university and public service. Particularly, such an appointment implies that, in the opinion of colleagues, the candidate's scholarship is excellent and, in addition, she or he has earned a high level of professional recognition. Where appropriate, this recognition should be on a national or international level in the field of assignment. It is further emphasized that this rank is in recognition of attainment rather than length of service.

### IV. Applicability

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This regulation is applicable to faculty employees appointed in the Regular Title Series after December 31, 1999.

### V. References and Related Materials

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Administrative Regulations: 3:8 Faculty Workload Policy Statement; 3:10 Policies for Faculty Performance Review, 3:11 Tenured Faculty Review and Development Policy

#### Revision History

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AR II 1.0-1, V-B: 1/1/2000

For questions, contact: [Office of Legal Counsel](#)



# Appointment, Reappointment, Promotion, and the Granting of Tenure in the Regular Title Series

## Major Topics

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### [Areas of Activity](#)

### [General Criteria for Ranks](#)

## I. Areas of Activity

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- A. Four areas of activity are important in the evaluation of faculty for appointment, and promotion in the Regular Title Series: (1) instruction, including both formal classroom teaching activities and other activities that influence students' growth; (2) research or other creative activity; (3) professional status and activity; and (4) University and public service.
- B. Since all appointment, reappointment, promotion, and tenure actions shall be decided on the basis of merit, the following detailed statements regarding each of these areas will serve as a guide to evaluators who review the accomplishments of a faculty employee. Additional University-level elaboration on the nature of the activities in these areas is in AR 3:8. The educational unit faculty may also develop statements describing the evidences of activity in instruction, research and service that are appropriate to their field(s) for use in guiding evaluations for promotion and tenure. If developed and approved by the educational unit faculty, those statements must be submitted by the department chair, graduate center director, school director (when the school does not contain departments), or the Dean in a college without departments or schools (referred to hereafter as the "educational unit administrator") to the dean for review and final approval before the statements are made operative in the educational unit. Revisions to an educational unit's statements, upon approval of the educational unit faculty, must also be submitted by the educational unit administrator to the dean for review and final approval. (GR Part VII, section A.6(c))
1. Instruction and Student Relations
    - (a) Markedly superior teaching and advising are distinct values and shall be recognized in appointment, reappointment, promotion, and the granting of tenure. Recognition also shall be given to a faculty employee's contribution to student welfare through service on student-faculty committees or as an advisor to student organizations or other instructional activities enumerated in the Teaching Portfolio. (AR 3:10) Teaching, advising, and other instructional activities must be documented through the Teaching Portfolio.
    - (b) Objective evidence of the quality of teaching shall be included in the final dossier. Such evidence shall include: evaluations by students and, if available, graduates; and may include

reports by colleagues qualified in the field, and when appropriate, the subsequent accomplishments of graduates whose major work has been supervised by the individual under consideration

- (c) Colleges shall evaluate the quality as well as the quantity of academic advising done by each faculty employee. The results of this evaluation shall be considered in the annual performance review, the tenure progress reviews and in the decisions concerning reappointment, promotion, and the granting of tenure of each faculty employee.

## 2. Research or Other Creative Activity

The individual under consideration shall show evidence of continuing research or other creative activity in the particular field of assignment. Publication in the form considered appropriate for the field will constitute this evidence. In certain creative activities, "publication" may be achieved in modes different from those of the sciences and the book-based disciplines. Evaluation of the quality of such publication is imperative, and specialists in the field from both inside and outside the University shall be called upon to attest to the value of the individual's research. Since certain types of research or creative work require a longer period of development before publication than do others, evaluation also shall be made of work in progress, particularly in cases where reappointment, promotion, and the granting of tenure is involved.

## 3. Professional Status and Activity

The demonstration that the abilities of the individual under consideration are recognized outside the University by the candidate's profession is important in evaluation. Furthermore, service to one's profession is valued work. Such recognition and professional service must be weighted according to rank. Obviously, a candidate for the lowest rank will not be likely to have achieved wide professional recognition or engaged in much service to a profession. There are many ways in which extramural recognition may be evidenced and service documented, and those entrusted with evaluation will use the kind of evidences appropriate to the candidate's field. Qualitative rather than quantitative judgments are of primary importance.

## 4. University and Public Service

- (a) Effective participation in activities appropriate to the formation of educational policy and faculty governance and effective performance of administrative duties shall be taken into consideration in the evaluative process. A service component is an integral part of a faculty employee's obligation to the University.
- (b) Service to the community, state, and nation also shall be recognized as positive evidence for promotion, provided that this service emanates from the special competence of the individual in an assigned field and is an extension of the individual's role as a scholar-teacher. Patient care is recognized as a special competence in an assigned field and is an integral part of the service component. Public service unrelated to the individual's role as a scholar-teacher does not constitute evidence for appointment, reappointment, promotion, and the granting of tenure, or salary increase.

## II. Balance of Intellectual Attainment

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A major consideration in any appointment, reappointment, promotion, or the granting of tenure is superior achievement in the various activities discussed in the preceding paragraphs. While the proportion of these activities may vary in terms of the individual's assignments and specialty, it shall be recognized that superior intellectual attainment is evidenced both by the quality of the individual's teaching and the quality of the individual's research or other creative activity. Ideally, individuals selected for tenure should demonstrate

superiority in all of the major criteria discussed here and, while special circumstances may cause the weight of emphasis on each to vary, care shall be taken to ensure that outstanding performance in a single activity does not obliterate the other factors that should be considered in evaluating academic excellence.

### III. General Criteria for Ranks

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Although it is impossible to specify the exact criteria for judging an appointment, reappointment or promotion to any one particular rank, the following general statements are guides for evaluators.

#### A. Assistant Professor

To qualify for appointment, reappointment or promotion to Assistant Professor, a candidate shall hold the terminal degree appropriate to the field of assignment and present evidence of capacities for good instruction, research or other creative activity, and service and a potential for significant growth in these areas.

#### B. Associate Professor

To qualify for appointment, reappointment or promotion to Associate Professor, a candidate must meet the qualifications of Assistant Professor and provide evidence of continuous improvement and contribution in instruction, and research or other creative activity, and service. Furthermore, the individual shall have earned some regional recognition for excellence appropriate to the field of assignment.

#### C. Professor

To qualify for appointment or promotion to Professor, a candidate must meet the qualifications of Associate Professor, and demonstrate that, in the opinion of colleagues, the individual is outstanding in instruction, research or other creative activity and service. In addition, the candidate will have earned national and, perhaps, international recognition in research or other creative activity. It is further stressed that this rank is recognition of attainment rather than of length of service.

### IV. Applicability

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This regulation is applicable to faculty employees appointed in the Regular Title Series prior to January 1, 2000.

### V. References and Related Materials

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Administrative Regulations: 3:8 Faculty Workload Policy Statement; 3:10 Policies for Faculty Performance Review, 3:11 Tenured Faculty Review and Development Policy

#### Revision History

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AR II 1.0-1, Part V-A: 9/20/1989

For questions, contact: [Office of Legal Counsel](#)



# Appointment, Reappointment, Promotion, and the Granting of Tenure in the Extension Title Series

## Major Topics

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### [General Criteria for Ranks](#)

## I. Introduction

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The Extension Title Series consists of the following academic ranks and titles: (1) Assistant Extension Professor; (2) Associate Extension Professor; and (3) Extension Professor.

This title series and the associated criteria for ranks have been established to provide a system of evaluation for appointment, reappointment, promotion, and the granting of tenure applicable to University faculty whose primary assignment is to one of the University extension programs serving the citizens of the Commonwealth.

In matters of evaluation, the recommendation of the department chair, graduate center director, school director (when the school does not contain departments), or the dean in a college without departments or schools, and the complete supporting dossier shall be forwarded to the dean of the college in which the individual's position is funded.

## II. Criteria for Ranks

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### A. Assistant Extension Professor

In order to qualify for appointment as an Assistant Extension Professor, a candidate shall hold the terminal degree appropriate to the field of assignment and, where required, certification in the field. Further, a candidate shall possess the essential instructional and organizational skills prerequisite to successful development and administration of a University service program and show evidence of potential for future professional growth.

### B. Associate Extension Professor

In addition to meeting the criteria for Assistant Extension Professor, appointment or promotion to the rank of Associate Extension Professor shall be based on:

1. Evidence of professional development on a state and regional basis as indicated by factors such as:

- (a) Leadership;
  - (b) Participation in professional organizations;
  - (c) Requests to serve as consultant, advisor, or expert participant; and
  - (d) Recognition for outstanding service in the field of assignment.
2. Demonstration of substantial instructional and organizational skills in the field of assignment as evidenced by achievements such as:
    - (a) Development of training or extension education programs;
    - (b) Preparation of public information materials;
    - (c) Publication of useful and creative articles in appropriate professional journals;
    - (d) Generation and dissemination of new knowledge and data through activities such as evaluating and interpreting research and through conducting demonstrations, surveys, and other field activities; and
    - (e) Development of new concepts, designs, systems or procedures useful in the field of assignment.
  3. Demonstration of significant contribution of service to the University and community.

Application of the above criteria shall be weighted in terms of the individual's assignment.

#### C. Extension Professor

Appointment or promotion of an individual to the rank of Extension Professor is based, in addition to meeting criteria for the rank of Associate Extension Professor, on continued broad professional growth and distinguished achievements by the individual in the particular field of assignment. The required level of performance is defined by:

1. Outstanding leadership and service to the profession as evidenced by regional and national recognition;
2. Innovative and effective approaches to the problems in the individual's field;
3. National recognition in extension education and in planning and developing programs; and
4. Substantial achievement in the field of assignment as measured by modes of publication suitable to the individual's field and maintenance of contact with and development and application of new knowledge relevant to the individual's field.

### III. References and Related Materials

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Administrative Regulations: 2:1-1 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure; 2:1-2 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure; 3:8 Faculty Workload Policy Statement; 3:10 Policies for Faculty Performance Review, 3:11 Tenured Faculty Review and Development Policy

## Revision History

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AR II 1.0-1, Part VI: 9/20/1989

For questions, contact: [Office of Legal Counsel](#)



# Appointment, Reappointment, Promotion, and the Granting of Tenure in the Special Title Series

## Major Topics

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[Establishing Special Title Series Positions](#)

[Criteria for Appointment, Promotion and Tenure](#)

## I. Introduction

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The University requires the services of professionally competent faculty employees to meet instructional and service responsibilities in selected areas or positions in which assignments do not necessarily include research or creative work. To meet these responsibilities effectively and to be competitive in attracting and retaining needed faculty employees, a Special Title Series has been established as defined below.

## II. Definition

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The academic ranks and titles in the Special Title Series parallel those in the Regular Title Series (i.e., Instructor\*, Assistant Professor\*, Associate Professor\*, and Professor\*). Examples of more specific special titles are Associate Professor of Applied Music\* and Assistant Professor of Medicine\*. The asterisk, as a superscript immediately following a title, designates that the rank and title are associated with a position in the Special Title Series.

## III. Establishment of Special Title Positions and Criteria

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A new Special Title Series position shall be established as follows:

- A. The faculty of the initiating educational unit shall prepare a justification for the position, a description of the position, and propose criteria for appointment, reappointment, promotion, and the granting of tenure to each of the four ranks in the Special Title Series. (GR Part VII, section A.6(c)) Proposed criteria are not necessary if the criteria for appointment, reappointment, promotion, and the granting of tenure have been approved previously for the same type of Special Title Series position. The previously approved criteria and the approval documents shall be appended to the chair's request to the dean for approval. A statement of this action shall be included in the supporting material and the listing of proposed criteria may be omitted. The description of the Special Title Series position shall include a statement that evaluation of a faculty employee's performance should be commensurate with his or her approved distribution of effort agreement. After review and approval, the dean of the college shall forward the

educational unit's recommendation and supporting material to the Provost.

- B. The Provost shall, if such have not been previously approved, refer the pertinent criteria for appointment, reappointment, promotion, and the granting of tenure to the appropriate Academic Area Advisory Committee for evaluation, suggestions on any desirable and/or necessary revision, and approval. After approval of the criteria by an Area Committee, the Provost shall approve or disapprove the educational unit's recommendation for the establishment of new Special Title Series positions.

## IV. Guidelines and Procedures for Appointment, Reappointment, Promotion, and the Granting of Tenure

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- A. Before an individual can be appointed to a position in the Special Title Series, the position must have been approved by the Provost.
- B. The Special Title Series is not intended to serve as a means for appointing and promoting individuals who are unable to qualify for appointment or promotion in the Regular Title Series because of demonstrated lack of research competence.
- C. The procedures for handling recommendations for appointment, reappointment, promotion, and the granting of tenure in the Special Title Series are the same as those for processing similar recommendations related to the Regular Title Series. (AR 2:1-1, AR 2:1-2) However, the pertinent special criteria associated with the approval of a Special Title Series position shall serve as guidance for evaluators in matters related to appointment, reappointment, promotion, and the granting of tenure.

## V. Conditions of Employment

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Employment in a Special Title Series position does not normally imply a specific responsibility to engage in research. Consequently, appointment or promotion to the rank of Associate Professor or Professor in this series does not automatically qualify an individual for membership in the Graduate Faculty. In all other respects, the conditions and benefits of employment related to appointments in the Special Title Series are the same as those related to appointments in other tenure-eligible title series.

## VI. References and Related Materials

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Governing Regulation: Part VII

Administrative Regulations: 2:1-1 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure; 2:1-2 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure; 3:8 Faculty Workload Policy Statement; 3:10 Policies for Faculty Performance Review, 3:11 Tenured Faculty Review and Development Policy

### Revision History

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AR II 1.0-1, Part VII: 4/8/2002

For questions, contact: [Office of Legal Counsel](#)



# Appointment, Reappointment and Promotion in the Research Title Series

## Major Topics

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[Establishment of a Position](#)

[Areas of Activity](#)

[Academic Ranks, Titles, and Criteria](#)

[Procedures for Appointment, Reappointment, and Promotion](#)

## I. Introduction

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The University has continuously expanding requirements for scientists, specially-trained investigators, and other highly-qualified personnel to meet responsibilities in research and other creative activities, especially those responsibilities related to projects which the institution operates under contracts, grants, or other designated funds. To fulfill these requirements more effectively and to be more competitive in attracting and retaining needed professional personnel, a research title series for appointments and promotions without tenure has been established as hereafter defined and described.

## II. Definition

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The Research Title Series is a professorial series for appointment and promotion of appropriately qualified individuals who participate in the University's academic program but whose activities shall be limited to participation in projects which (1) involve research or other creative activity, (2) are of limited and specified duration, and (3) the institution operates under contracts, grants, or other designated funds. A faculty employee on appointment in the Research Title Series shall not have any regularly-scheduled teaching or service assignments. Interim appointment and payment of salary from funds other than those associated with contracts, grants, and other designated funds may occur, with approval of the Provost, when there is a gap of six months or less between approved contracts, grants, or other sources of designated funds. However, in such circumstances, the appointee's assignment shall be completely consistent in a general sense with the duties which the individual had and will be expected to continue under a program for research or other creative activity which is supported from contracts, grants, or other designated funds.

## III. Establishment of a Position

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To establish a position in the Research Title Series, the department chair, graduate center director, school director (when the school does not contain departments), or the dean in a college without departments or schools of the initiating educational unit shall (1) prepare a proposal demonstrating the need for such a position and indicate the source, amount, and term of funding for the program of research or creative activity to which the position is related, and (2) obtain approvals of the dean of the college, Vice President for Research, the Dean of the Graduate School, with final approval of the Provost.

## IV. Areas of Activity

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Three areas of activity are important in the evaluation of individuals for appointment, performance review, and promotion in the Research Title Series: (1) research or other creative activity; (2) professional status and activity; and (3) ability to initiate and maintain a program of research or creative activity supported by contracts, grants, or other designated funds. Guidelines relative to the first two areas of activity are described under the Regular Title Series; guidelines for the third area of activity are well-established in that the contract, grant, or other source of designated funds shall cover salaries and costs of benefits for personnel, operating expenses, equipment, and overhead.

## V. Academic Ranks, Titles, and Criteria

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The academic ranks and related titles in the Research Title Series shall be: (1) Assistant Research Professor; (2) Associate Research Professor; and (3) Research Professor. Although it is not feasible to specify exact criteria for evaluating the credentials of an individual for appointment or promotion to any one particular rank in the Research Title Series, the following statements are provided as guidelines.

### A. Assistant Research Professor

Appointment to the rank of Assistant Research Professor shall be made when it has been determined that the individual has a current independent capability for conducting reliable research or other creative work supported through contracts, grants, or other designated funds, has a potential for significant professional growth in the field of research or creative activity, and holds the terminal academic degree appropriate to the field of assignment.

### B. Associate Research Professor

Appointment or promotion to the rank of Associate Research Professor shall be made only after an indication of continuous improvement and contribution by the individual in research or other creative activity supported through contracts, grants, or other designated funds. Furthermore, the individual shall have earned some regional recognition for excellence appropriate to the field of assignment.

### C. Research Professor

Appointment or promotion to the rank of Research Professor is an indication that, in the opinions of colleagues and administrators, the individual is outstanding in research or other creative activity supported through contracts, grants, or other designated funds and has earned national and, perhaps, international recognition. It should be further emphasized that this rank is a recognition of attainment rather than years of experience or length of appointment.

## VI. Procedures for Appointment and Promotion

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Procedures for appointment and promotion to academic ranks related to approved positions in the Research Title Series are the same as those for the regular title series. (AR 2:1-1, AR 2:1-2)

## VII. Terms of Appointment

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- A. An Assistant Research Professor shall be appointed for a specific term not to exceed three years or, if for a lesser period of time, the period of funding from the contract, grant, or other designated funds. An Associate Research Professor or a Research Professor shall be appointed for a specific term not to exceed five years or, if for a lesser period of time, the period of funding from the contract, grant, or other designated funds. A faculty employee may be reappointed in the Research Title Series for one or more additional terms, contingent upon continuity of funding and the individual's accomplishments.
- B. The procedure by which an appointee in the Research Title Series may be proposed, recommended, and approved for membership in the Graduate Faculty is the same as that for an appointee in the regular title series. If an appointee in the Research Title Series is approved for membership, the individual's participation as a member of the Graduate Faculty shall be limited to directing graduate theses and dissertations and to serving on committees appointed by the Dean of the Graduate School.
- C. If the appointment of a faculty employee is changed from the Research Title Series to the regular title series through proper administrative channels, years of service while on appointment in the Research Title Series shall be eliminated from consideration in the determination of the probationary period related to the appointment of the faculty employee in the regular title series.

## VIII. Conditions of Employment

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- A. A faculty employee on appointment in the Research Title Series is eligible for all benefits of the Regular Title Series except tenure and sabbatical leave. University contributions toward retirement, social security, and insurance benefits for the faculty member shall be covered through the contract, grant, or other designated funds which provide support for the individual's position.
- B. Faculty membership, with or without voting privileges, may be extended to an appointee in this series by the educational unit to which the individual is assigned. However, a faculty employee on appointment in the Research Title Series shall not be eligible to vote on matters relating to faculty appointment, retention, promotion, or tenure or to be elected to the University Senate.

## IX. References and Related Materials

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Administrative Regulations: 2:1-1 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure; 2:1-2 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure; 3:8 Faculty Workload Policy Statement; 3:10 Policies for Faculty Performance Review

### Revision History

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AR II 1.0-1, Part VIII: 4/8/2002

For questions, contact: [Office of Legal Counsel](#)



## Appointment, Reappointment, and Promotion in the Clinical Title Series (Approved by the Board of Trustees)

### Major Topics

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[Establishment of a Position](#)

[Areas of Activity](#)

[Academic Ranks, Titles, and Criteria](#)

### I. Introduction

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The University's mission involves three primary functions: instruction, research and service. In some areas, the educational experience is enhanced by having clinically competent faculty employees who are qualified to personally provide care or counseling to clients and training to students in clinical settings. To fulfill this need a Clinical Title Series for appointments, reappointments, and promotions without tenure was established by the Board of Trustees in 1986 for the health care colleges and was extended in 1995 to other colleges that have clinical disciplines. The ratio of the number of faculty appointments in the Clinical Title Series to the total number in the tenure-track title series (i.e., Regular, Special, Extension, Librarian) in a college shall not exceed 25 percent unless a specific higher ratio is approved by the Provost and the dean after a consultative vote is taken of the faculty council in the college.

### II. Definition

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The Clinical Title Series is a series of tenure-ineligible academic ranks and titles for appointment and promotion of qualified individuals, who participate in the University's academic programs and whose duties and responsibilities are essentially related to clinical practice, service to clients or patients, and experiential training of students of the profession. For those faculty employees appointed to Clinical Title Series positions in health care programs, the primary responsibilities are to provide patient care services, to expose students to their professional expertise, and to direct students' educational experience in the clinical settings where the faculty employee practices.

### III. Establishment of a Position

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To establish a position in the Clinical Title Series, the chair of the initiating educational unit shall prepare, in consultation with the unit faculty employees, a request demonstrating the need for such a position and indicating the source, amount, and term of funding for the position, and then obtain approvals of the request from the dean of the college and the Provost.

## IV. Areas of Activity

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- A. Four areas of activity are important in the evaluation of individuals for appointment, reappointment, performance review, and promotion in the Clinical Title Series:
1. Practice or practice-relevant activities;
  2. Effective clinical instruction;
  3. Professional status and activity; and
  4. Ability to generate practice funds, if applicable for the position and as established in the position request.
- B. No University general funds shall be used to support fully or partially the workload of a faculty employee in a Clinical Title Series position, except that the Provost may approve an exception on a position-by-position basis in cases where:
1. The job assignment is inappropriate for the Regular Title Series; and
  2. Fees or practice funds are not collected in relation to the job activities.

## V. Academic Ranks, Titles, and Criteria

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- A. The academic ranks and related titles in the Clinical Title Series shall be:
1. Clinical Instructor;
  2. Assistant Clinical Professor;
  3. Associate Clinical Professor; and
  4. Clinical Professor.
- B. Appointees in the Clinical Title Series shall be subject to annual performance review. All appointments, reappointments, and promotions shall be decided on the basis of merit and as evidenced in the above areas in which activity shall be regularly assigned. Evidence of professional qualifications consists of educational attainment and professional accomplishment. Evidence in the second area of activity consists primarily of effective clinical instruction. Evidence of professional status and activity emphasizes clinical recognition. Evidences for professional status and activity are described under the Regular Title Series (AR 2:2-1, AR 2:2-2). Although it is not feasible to specify exact criteria for evaluating the credentials of an individual for appointment, reappointment, or promotion to any one particular rank in the Clinical Title Series, the following criteria provide guidance for evaluators:
1. Clinical Instructor  
In order to qualify for appointment or reappointment to Clinical Instructor, a candidate shall:
    - (a) Hold the terminal degree or other professional certification relevant to the clinical area (the latter shall be expressly identified in the position description request);
    - (b) Demonstrate clinical competence;

- (c) Hold a license to practice in the discipline; and
- (d) Have the potential for significant professional growth in the clinical area, and contribution in the areas of clinical and experiential practice and instruction in an experiential setting.

2. Clinical Assistant Professor

In order to qualify for appointment, reappointment, or promotion to Clinical Assistant Professor, a candidate shall meet the qualifications of Clinical Instructor, and in addition must both have a terminal degree (as determined by the profession) and provide evidence appropriate to the profession of recognition at least at the local level. The requirement for a terminal degree at the rank of Clinical Assistant Professor, for exceptional professionals with national reputations as being among the best in their fields, may be waived upon:

- (a) The positive majority vote of the tenured and tenure-eligible faculty in the educational unit who are at or above the rank of Assistant Professor;
- (b) The positive recommendations of the educational administrator and the dean; and,
- (c) The positive recommendation of the appropriate Academic Area Advisory Committee and the approval of the Provost.

3. Clinical Associate Professor

In order to qualify for appointment, reappointment, or promotion to Clinical Associate Professor, a candidate shall meet the qualifications of Clinical Assistant Professor and have exercised substantial commitments in practice and clinical instruction. The individual appointed or promoted to this rank shall have demonstrated creative contributions to the instructional and clinical service programs of the University or comparable institution, documented with evidences appropriate to the field of assignment. The individual also shall have earned regional recognition as a clinician.

4. Clinical Professor

In order to qualify for appointment, reappointment, or promotion to Clinical Professor, a candidate shall meet the qualifications of Clinical Associate Professor and provide evidence to demonstrate that in the opinion of colleagues and administrators the individual is an outstanding practitioner and that regional, and perhaps national, recognition has been accorded the individual and beyond that, excellence in areas of emphasis has been achieved and appropriately documented with evidences appropriate to these areas.

## VI. Procedures for Appointment, Reappointment, and Promotion

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- A. Procedures for appointment, reappointment, and promotion to academic ranks related to approved positions in the Clinical Title Series are the same as those for the tenure-eligible title series (AR 2:2-1, AR 2:2-2), except that faculty employees of the Clinical Title Series shall be consulted on a departmental or divisional basis as appropriate about appointment, reappointment, and promotion to academic ranks equal to or below their own.
- B. The procedure by which an appointee in the Clinical Title Series may be proposed, recommended, and approved for associate membership in the Graduate Faculty is the same as that for an appointee of the tenure-eligible title series [GR Part VII, section A.3(a)]. Clinical Title Series members shall not direct graduate thesis and dissertations, but they may serve on thesis and dissertation committees and such other committees as appointed by the Dean of the Graduate School.

- C. If the appointment of a faculty employee is changed from the Clinical Title Series to one of the tenure-eligible title series through proper administrative channels and after following the established procedures for the tenure-eligible title series, years of service while on appointment in the Clinical Title Series shall not be considered in the determination of the probationary period related to the appointment of the faculty employee in the tenure-eligible title series.

## VII. Terms of Appointment

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A Clinical Instructor shall be appointed for a specific term, not to exceed three years or, if for a lesser period of time, the period of funding from clinical practice, contracts, grants, or other sources as approved above (section IV). A Clinical Assistant Professor, a Clinical Associate Professor, or a Clinical Professor shall be appointed for a term not to exceed five years or, if for a lesser period of time, the period of funding from clinical practice, contracts, grants, or other approved sources. A faculty employee may be reappointed in the Clinical Title Series for one or more additional terms, contingent upon continuity of approved funding and the individual's performance and accomplishments.

## VIII. Conditions of Employment

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- A. A faculty employee on appointment in the Clinical Title Series is eligible for all benefits of the Regular Title Series, except tenure and sabbatical leave. University contributions toward retirement, social security, and insurance benefits for the faculty employee shall be funded through clinical practice, contracts, grants, or other approved sources which provide support for the individual's position.
- B. Faculty membership, with or without voting privileges, may be extended to an appointee in this series by the faculty employees of the educational unit to which the individual is assigned (GR part VII, section A.6). However, a faculty employee on appointment in the Clinical Title Series shall not be consulted about nor be eligible to vote on matters relating to faculty appointment, retention, and promotion in the tenure-eligible title series.
- C. Faculty employees appointed in the Clinical Title Series shall not have regularly assigned duties in University service (see "Areas of Activity" above). However, faculty employees appointed in this title series who have been extended the privilege of membership in the college faculty body (GR part VII, section A.4) may be elected to serve in the University Senate. Individuals appointed in the Clinical Title Series shall not occupy more than 25 percent of the University Senate seats allocated to a college, nor be calculated as more than 25 percent of the faculty employees of a college in the apportionment of University Senate seats among the colleges.

## IX. Reporting

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The Office of the Provost shall maintain a record of the number of faculty employees on appointment in the Clinical Title Series for each college, including any exemptions granted pursuant to this Administrative Regulation. The Provost shall provide to the University Senate Council an annual report regarding the status (i.e., total number and exemptions per college) of faculty employees appointed in the Clinical Title Series.

## X. References and Related Materials

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Governing Regulation: Part VII University Organization

Administrative Regulations: 2:1-1 and 2:1-2 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure, 2:2-1 and 2:2-2 Appointment, Reappointment, Promotion and the Granting of Tenure in the Regular Title Series

## Revision History

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AR II 1.0-1, Page IX: 4/8/2002

For questions, contact: [Office of Legal Counsel](#)



# Appointment, Reappointment, Promotion, and the Granting of Tenure in the Librarian Title Series

## Major Topics

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[Requirements for Appointment and Promotion](#)

[Appointments](#)

[Promotions](#)

[Reappointments, Terminal Reappointments, and Notices of Non-Renewal of Appointment](#)

[Tenure](#)

[General Considerations](#)

[Conditions of Employment](#)

## I. Introduction

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This regulation establishes the requirements for appointment, reappointment, promotion, and the granting of tenure in the Librarian Title Series.

## II. Requirements for Appointment and Promotion

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Librarians at the University of Kentucky hold academic appointments in ranks designated as Librarian IV, Librarian III, Librarian II, and Librarian I, analogous to the academic titles of Instructor, Assistant Professor, Associate Professor, and Professor, respectively (*Minutes of the Meeting of the Board of Trustees, February 18, 1966*). In matters involving faculty personnel decisions, including appointment, reappointment, promotion and the granting of tenure, the Dean of Libraries shall have the same authority and responsibilities as those of a dean of a college (*Governing Regulation, Part VII*). The primary appointment of faculty employees in the Librarian Title Series shall be limited to the Libraries or the College of Law. Accordingly, references in this regulation to the “dean” refer only to the Dean of Libraries or the Dean of the College of Law, as applicable.

### A. Required Earned Degrees for Each Librarian

Each librarian shall have earned a B.A. or a B.S. degree or its equivalent, and a graduate (fifth-year) degree in Library Science. Upon recommendation of the dean, relevant experience, a master's degree, or a professional degree in another field may be substituted for the graduate degree in Library Science.

#### B. Additional Experience Required for Rank of Librarian III

An individual appointed or promoted to the rank of Librarian III shall, in addition to the requirements in Section II.A, have had at least three (3) years of successful library-related experience. Upon recommendation of the dean, graduate or professional study, in addition to that specified in Section II.A, may be substituted for part or all of the three (3) years of practical experience.

#### C. Additional Experience Required for Ranks of Librarian II and Librarian I

An individual appointed or promoted to the rank of Librarian II or Librarian I shall, in addition to the requirements in Section II.A, have had not less than five (5) years of successful library-related experience. Additional experience may be required if such training is appropriate to the individual's position. The individual also may be required to have demonstrated subject specialization or supervisory or administrative abilities where such abilities are appropriate. A master's, doctoral, or professional degree in a subject matter field may be taken as evidence of subject specialization.

### III. Appointments

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#### A. Appointment to the Rank of Librarian IV or Librarian III

The dean, with the approval of the Provost, shall make an appointment to the rank of Librarian IV or Librarian III, subject to the requirements outlined in Section II. Approved appointments shall be communicated by the Provost to the President who reports these to the Board of Trustees in accordance with *Governing Regulation, Part VIII.B*.

#### B. Appointment to the Rank of Librarian II or Librarian I

A recommendation (with supporting dossier) for appointment to the rank of Librarian II or Librarian I shall be made to the Provost by the dean after consultation with the appropriate faculty and, if applicable, with the College Advisory Committee. (see AR 2:1-1 Procedures for Faculty Appointment, Reappointment, Promotion and the Granting of Tenure and AR 2:1-1, Appendix I) The Provost shall review the dossier for completeness and then, if applicable in accordance with AR 2:11, obtain a related recommendation from the Librarian Title Series Area Committee. Additional procedural steps for handling a recommendation for appointment of a librarian at the rank of Librarian II or Librarian I are parallel to those applicable to faculty employees of equivalent academic rank in the other tenure-eligible title series.

### IV. Promotions

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The procedural steps for handling recommendations for promotion in the Librarian Title Series are outlined in AR 2:1-1.

#### A. Promotion from Librarian IV to Librarian III

An individual shall not remain at the rank of Librarian IV for more than five (5) years. If, after that period, promotion to Librarian III cannot be justified, the individual's appointment as a librarian shall not be renewed. In considering an individual for promotion to the rank of Librarian III, annual performance reviews shall be taken into account. These reviews shall have been conducted in terms of criteria appropriate to the librarian's assigned duties but with attention given to the individual's participation in professional activities and general professional development and to any research and/or publication which may have been done.

## B. Promotion from Librarian III to Librarian II or from Librarian II to Librarian I

Promotion from Librarian III to Librarian II or from Librarian II to Librarian I shall be based upon performance and professional development. The individual shall have achieved recognition in a mode appropriate to the individual's specialty in an assigned field. In addition to demonstrated performance and ability, the individual shall have had at least five (5) years of successful library-related experience. In no case shall the assignment of administrative duties be a requirement for promotion to the rank of Librarian II or Librarian I.

## V. Reappointments, Terminal Reappointments, and Notices of Non-Renewal of Appointment

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During their probationary period, faculty employees at the rank of Librarian IV, Librarian III or Librarian II shall be appointed or reappointed on a year-to-year basis, subject to annual review. The probationary period for a tenure-eligible appointment at the rank of Librarian I without tenure shall be limited to one year.

Reappointments, terminal reappointments, and notices of non-renewal of appointment shall be based on results of both annual reviews and consultations with appropriate librarians and administrators. The processes for considering and handling reappointments, terminal reappointments, and notices of non-renewal of appointment for librarians are generally parallel to those applicable to regular title series faculty members of equivalent academic rank.

## VI. Probationary Periods and Recommendations for Tenure

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- A. The total probationary period of a Librarian III shall not exceed seven (7) years, including applicable previous full-time service as a professional librarian at another institution or as a Librarian IV. A librarian with more than three (3) years of full-time experience at another institution who is appointed at the rank of Librarian IV, Librarian III, or Librarian II may be required to serve in a probationary status not to exceed four (4) years. If tenure was not granted while on appointment as Librarian III, the individual shall be considered for the granting of tenure coincident with a review for promotion to Librarian II. An individual initially appointed at the rank of Librarian I may be given non-tenured status for a period not to exceed one (1) year. A tenure-eligible faculty employee at the rank of Librarian I shall be considered for tenure in the first half of a one-year probationary period, unless the individual requests in writing that such not be done because of the intent to resign or willingness to accept a notice of non-renewal of appointment.
- B. Recommendation for tenure shall be dependent upon the quality of the individual's performance during the probationary period and the extent to which the individual has achieved recognition in a mode appropriate to the individual's specialty in an assigned field. The procedural steps for considering and handling recommendations for the granting of tenure in the Librarian Title Series are outlined in AR 2:1-1.

## VII. General Considerations

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- A. The terms and conditions of employment, excepting salary, covering each appointment of a librarian shall be set forth in the Notice of Academic Appointment and Assignment for that individual.
- B. Faculty performance reviews in the Librarian Title Series shall be conducted in accordance with the policies and procedures outlined in AR 3:10 (Faculty Performance Review and Progress Review).

## VIII. Conditions of Employment

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- A. Appointment as a librarian does not normally imply a specific major responsibility to engage in research and publication. However, a librarian is eligible to apply for research grants as a principal investigator if permitted by the granting authorities, subject to the approval of the dean.
- B. Librarians are eligible for membership in the University Senate and for sabbatical leave in accordance with University sabbatical leave policies. Librarians are entitled to the same benefits and privileges as faculty employees in the other tenure-eligible title series.

## IX. References and Related Materials

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### Governing Regulations:

Part VII: University Organization

Part VIII: University Appointments

### Administrative Regulations:

2:1-1 and 2:1-2: Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure

3:10: Policies for Faculty Performance Review

### Revision History

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7/1/2008, 04/08/02

For questions, contact: [Office of Legal Counsel](#)



# Appointment, Reappointment, and Promotion in the Adjunct Series

## Major Topics

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### [Establishment of a Position](#)

#### I. Introduction

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Adjunct Title Series faculty are individuals employed by a non-University agency or by the University with primary appointments in non-faculty positions, who contribute significantly to the instructional or research missions of the University. The phrase “Adjunct Series” is used in parentheses to modify an academic rank and title, e.g., Associate Professor (Adjunct Series) or Associate Professor of Medicine (Adjunct Series).

#### II. Terms of Appointment

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Normal periods of appointment for full-time Adjunct Series positions shall correspond to those to which the Adjunct Series designation is made. Tenure shall not be granted to appointees in the Adjunct Series. The terms of appointment shall be noted in the Notice of Academic Appointment.

#### III. Establishment of a Position

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- A. The Provost shall approve the establishment of each position to be filled by an appointment in this series, but only after the favorable recommendation of the appropriate Academic Area Advisory Committee in cases of regular, full-time adjunct positions in the University. Where appropriate, approval shall include an appraisal of the level of teaching to be performed in the position.
- B. Appointments in the Adjunct Series shall be limited to those qualified individuals who do not already have a faculty appointment at the University to the extent of more than 50 percent. Full-time faculty employees at the University who seek formal academic appointment beyond their primary educational unit should consult AR 2:1-1 or AR 2:1-2 on joint appointments.

#### IV. Procedures and Criteria

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Procedures for appointment, reappointment, and promotion to titles in the Adjunct Series are the same as those for the regular title series (AR 2:1-1, AR 2:1-2), except that time in rank and involvement of an Academic Area Advisory Committee are not required for appointments or reappointments. Criteria for appointment, reappointment, and promotion shall parallel those established for the academic rank and title assigned, except that appraisal of the candidate shall take into account, as appropriate, a heavier work load

in assigned responsibilities. Promotion to the Associate Professor or Professor rank in this series does not automatically qualify an individual for membership in the Graduate Faculty.

## V. Conditions of Employment

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An appointee in the Adjunct Series shall not be eligible for tenure, sabbatical leave, employee benefits, or election to the University Senate. However, an appointee who is a full-time employee of the University and has a primary appointment in a non-faculty position shall be entitled to employee benefits appropriate for the non-faculty position. Faculty membership, with or without voting privileges, may be extended to an appointee in the Adjunct Series by any educational unit to which the individual is assigned.

## VI. References and Related Materials

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### Administrative Regulations:

2:1-1 Procedures for Faculty Appointment, Reappointment, Promotion, and the Granting of Tenure

2:2-2 Appointment, Reappointment, Promotion, and the Granting of Tenure in the Regular Title Series

### Revision History

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AR II 1.0-1, Part XI: 4/8/2002

For questions, contact: [Office of Legal Counsel](#)



## Lecturer Series Faculty

### Major Topics

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[Appointment](#)

[Non-renewal of a Rolling Contract](#)

[Criteria for Appointment, Reappointment, Promotion, and Faculty Performance Review](#)

[Periodic Course Reduction](#)

[Conditions of Employment](#)

### I. Introduction

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Lecturer Series faculty employees are professionally qualified teachers hired for a fixed term. Lecturer Series faculty employees do not have the same responsibilities and professional obligations as faculty in Regular, Special, Extension or Librarian Title Series. Lecturer Series appointments shall not be made when appointment in a tenure-eligible title series is appropriate. The Lecturer Series is comprised of two academic ranks: Lecturer and Senior Lecturer.

### II. Appointment

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Appointment, reappointment, non-renewal of appointment, and terminal reappointment in the Lecturer Series are subject to the following conditions:

- A. The dean makes the final decision on initial appointment, reappointment, non-renewal of appointment and terminal reappointment of Lecturer Series faculty employees at the rank of Lecturer. The dean shall notify the faculty employee in writing and send a copy of the notification to the educational unit administrator (see AR 2:1-1, Appendix III).
- B. The Provost makes the final decision on initial appointment at the rank of Senior Lecturer upon recommendations of the educational unit administrator and the dean without reference to an Academic Area Advisory Committee. Prior to making a recommendation to the Provost on initial appointment at the rank of Senior Lecturer, the dean shall obtain the written advice of the college advisory committee on promotion, appointment, reappointment, and tenure (AR 2:1-1, Section VII.B). The final action of the Provost shall be communicated in writing to the dean. The dean shall notify the faculty employee in writing of the Provost's decision and send a copy of the notification to the educational unit administrator. The dean makes the final decision on reappointment, non-renewal of appointment and terminal reappointment of Lecturer Series faculty employees at the rank of Senior Lecturer. The dean shall notify

the faculty employee in writing and send a copy of the notification to the educational unit administrator (see AR 2:1-1, Appendix III).

- C. The tenured and tenure-eligible faculty of an educational unit (department, school without departments, graduate center or college without either departments or schools) that employs faculty employee(s) in the Lecturer Series, shall establish by majority vote the maximum number or percentage of Lecturer Series faculty that may be employed by the unit. The number shall be documented in the rules of the unit and shall only be changed by majority vote of the tenured and tenure-eligible faculty of the unit.
- D. Initial appointment at the rank of Lecturer or Senior Lecturer shall not exceed two (2) years. Notification of non-renewal of appointment at the end of the first year of service shall be given no later than March 1 if the appointment expires at the end of that academic year or three months in advance if the one-year appointment terminates during the academic year.
- E. After the first year of service, and until such time that a rolling contract is offered (see subsections 3 & 6 below), notification of the decision to offer a terminal reappointment shall be given to Lecturer Series faculty employees at least twelve (12) months before expiration of the appointment.
- F. Reappointment reviews shall be conducted in accordance with the policies and procedures prescribed in AR 2:1-1 and its accompanying appendices (AR 2:1-1 Appendices I & II).
- G. After the unit administrator has completed the reappointment review of a faculty employee in his or her fourth year of continuous full-time service at the rank of Lecturer, the educational unit administrator shall recommend to the dean either:
  - 1. An offer to the faculty employee of a 2-year rolling contract (i.e., a two-year notice before any potential termination of employment), subject to the conditions stated in Section III below; or
  - 2. An offer to the faculty employee of a terminal reappointment contract for a fifth and final year of employment. The dean shall make the final decision to either approve the unit administrator's recommendation and offer a terminal reappointment to the faculty employee, or to disapprove the recommendation and offer a reappointment. The dean shall notify the faculty employee in writing of the decision and send a copy of the notification to the educational unit administrator (see AR 2:1-1, Appendix III).
- H. After the unit administrator has completed the reappointment review of a faculty employee in his or her fourth year of continuous full-time service at the rank of Senior Lecturer, the educational unit administrator shall recommend to the dean either:
  - 1. An offer to the faculty employee of a 3-year rolling contract (i.e., a three-year notice before any potential termination of employment), subject to the conditions stated in Section III below; or
  - 2. An offer to the faculty employee of a terminal reappointment contract for a fifth and final year of employment. The dean shall make the final decision to either approve the unit administrator's recommendation and offer a terminal reappointment to the faculty employee, or to disapprove the recommendation and offer a reappointment. The dean shall notify the faculty employee in writing of the decision and send a copy of the notification to the educational unit administrator (see AR 2:1-1, Appendix III).
- I. The assignment period for Lecturer Series faculty employees may be on a nine-month, ten-month, eleven-month, or twelve-month basis.

### III. Non-renewal of a Rolling Contract

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A. Lecturer Series Faculty Employees at the Rank of Lecturer

1. In the event that a faculty employee at the rank of Lecturer is assigned a composite rating of unsatisfactory on an annual faculty performance review (see AR 3:10), the unit administrator shall not recommend the renewal of the faculty employee's rolling contract. After informing the appropriate unit faculty members (see AR 2:1-1 Appendix I), the unit administrator shall recommend to the dean that the faculty employee be offered a two-year reappointment contract without the provision for a rolling contract. The dean shall make the final decision on whether the two-year reappointment includes a rolling contract. The dean shall notify the faculty employee of the final decision in writing and send a copy of the notification to the unit administrator.
2. At any time in the two-year duration of a reappointment contract without a rolling contract, but with sufficient time to ensure that the faculty employee is notified of the final decision of the dean no later than the last day of the reappointment contract, the unit administrator shall recommend to the dean one of the three actions enumerated below. The unit administrator shall consult with the appropriate faculty (see AR 2:1-1 Appendix I) and, where prescribed in Appendix I, obtain written judgments from those faculty. The recommendation of the unit administrator shall be limited to one of the following actions:
  - a. An offer to the faculty employee of a 2-year rolling contract (i.e., a two-year notice before any potential termination of employment), subject to the conditions stated in Section III.A.1 above;
  - b. An offer to the faculty employee of a terminal reappointment contract; or
  - c. An offer to the faculty employee of a reappointment contract, not to exceed two years in duration and without the provision for a rolling contract. At the end of that reappointment period, the terms of reappointment shall be limited to:
    - i. The restoration of a 2-year rolling contract (i.e., a two-year notice before any potential termination of employment), subject to the conditions stated in Section III.A.1 above; or
    - ii. The issuance of a terminal reappointment contract.

B. Lecturer Series Faculty at the Rank of Senior Lecturer

1. In the event that a faculty employee at the rank of Senior Lecturer is assigned a composite rating of unsatisfactory on a biennial faculty performance review (see AR 3:10), the unit administrator shall not recommend the renewal of the faculty employee's rolling contract. After informing the appropriate unit faculty members (see AR 2:1-1 Appendix I), the unit administrator shall recommend to the dean that the faculty employee be offered a three-year reappointment contract without the provision for a rolling contract. The dean shall make the final decision on whether the three-year reappointment includes a rolling contract. The dean shall notify the faculty employee of the final decision in writing and send a copy of the notification to the unit administrator.
2. During the reappointment period without the provision of a rolling contract, the faculty employee shall undergo an annual faculty performance review.
3. In the second or third year of the reappointment contract, and with sufficient time to ensure that the faculty employee is notified of the decision of the dean no later than the last day of the reappointment contract, the unit administrator shall recommend to the dean one of the three actions enumerated below. The administrator shall consult with the appropriate faculty members (see AR 2:1-1 Appendix I) and, where prescribed in Appendix I, obtain written judgments from those faculty. The recommendation of the unit administrator shall be limited to one of the following actions:
  - a. An offer to the faculty employee of a 3-year rolling contract (i.e., a three-year notice before any

potential termination of employment), subject to the conditions stated in Section III.B.1,

- b. An offer to the faculty employee of a terminal reappointment contract; or
- c. An offer to the faculty employee of a reappointment contract, not to exceed three years in duration and without the provision for a rolling contract. At the end of that reappointment period, the terms of reappointment shall be limited to:
  - i. The restoration of a 3-year rolling contract (i.e., a three-year notice before any potential termination of employment), subject to the conditions stated in Section III.B.1 above; or
  - ii. The issuance of a terminal reappointment contract.

## IV. Criteria for Appointment, Reappointment, Promotion, and Faculty Performance Review

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- A. The Faculties of the educational units that employ full-time Lecturer Series faculty shall establish unit criteria and procedures for appointment, reappointment, nonrenewal of appointment, terminal reappointment, promotion, and faculty performance review (pursuant to GR VII.A.6). The criteria for appointment shall include an earned terminal degree appropriate to the field of assignment. Evidence of the appropriate professional experience or credentials may substitute for a terminal degree with the approval of the Provost. These unit criteria and procedures shall be submitted to the dean of the college for approval.
- B. The college policies on performance review of Lecturer Series faculty employees shall prescribe that Lecturer Series faculty employees undergo Faculty Performance Review (see AR 3:10) as follows:
  - 1. Lecturer Series faculty at the rank of Lecturer shall undergo Faculty Performance Review on an annual basis.
  - 2. Lecturer Series faculty at the rank of Senior Lecturer shall undergo Faculty Performance Review on a biennial basis, except as prescribed in Section III.B.2 above.
- C. A Lecturer Series faculty employee may be considered for promotion (without tenure) from the rank of Lecturer to the rank of Senior Lecturer at any time after five (5) years of continuous full-time service. In preparing a recommendation to the dean on a promotion case in the Lecturer Series, the educational unit administrator shall consult with the appropriate faculty employees of the unit and obtain their written judgments (see AR 2:1-1 Appendix I). Prior to making a recommendation to the Provost on a promotion case in the Lecturer Series, the dean shall provide the dossier to the college advisory committee on appointment, reappointment, promotion, and tenure (AR 2:1-1, Section VII.B), and obtain its written advice. The Provost makes the final decision on the promotion, without reference to an Area Committee. A faculty employee promoted to the rank of Senior Lecturer shall be offered a 3-year rolling contract (i.e., a 3-year notice before any potential termination of employment, subject to the conditions stated in Section III above).

## V. Periodic Course Reduction Associated with Professional Development Opportunities

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After six (6) years of continuous service, Lecturer Series faculty employees shall be eligible to apply for a one-year course reduction, equivalent to six (6) undergraduate credit hours of teaching, to devote time for professional development in order that the quality of faculty employee's service to the University may be enhanced. The unit administrator shall review such requests from Lecturer Series faculty employees and

make recommendations to the dean. The dean shall make the final decision on recommendations for periodic course reductions for Lecturer Series faculty employees.

Normally "continuous service" is interrupted by the two-course reduction associated with the professional development opportunity identified in this regulation. That is, no service prior to the two-course reduction may be credited toward eligibility for future professional development opportunities described herein. However, in the event that it becomes necessary for an individual to postpone such professional development at the request of and/or for the benefit of the University or one of its educational units, the period of postponement shall be counted as part of the six (6) years of continuous service necessary for the individual to become eligible again for the professional development opportunity identified in this regulation. The request for and/or agreement that the professional development opportunity be postponed shall be made in writing by the unit administrator to the dean, who has final authority in this matter. The request or agreement shall specify the period of postponement and the reason for it.

## VI. Conditions of Employment

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### A. Distribution of Effort

The annual assignment for faculty employees in the Lecturer Series shall normally be seventy-five (75) percent instruction (typically equivalent to nine (9) undergraduate credit hours of teaching per semester), with the remaining twenty-five (25) percent of the annual assignment apportioned among other assigned duties that serve the undergraduate program of the faculty employee's educational unit or college. Teaching assignments shall be limited to 100-, 200- and 300-level courses. Exceptions to these provisions may be granted by the Provost upon the written recommendation of a dean.

### B. Eligibility for Tenure, Leave, and Other Benefits

1. Lecturer Series faculty employees are not eligible for tenure, sabbatical leave or membership in the Graduate Faculty. Lecturer Series faculty employees are eligible for faculty membership with voting privileges in the college faculty and the University Senate, subject to the approval of the tenured and tenure-track members of the faculty in the college to which they have been assigned. They are also eligible for faculty membership with or without voting privileges in the educational unit to which they have been assigned, subject to the approval of the tenured and tenure-track members of the faculty in that educational unit. The extension of these privileges to Lecturer Series faculty employees shall be recorded in the respective Rules documents of the educational unit and college (GR VII).
2. Lecturer Series faculty employees are eligible to apply for positions in other faculty series. If a Lecturer is subsequently appointed in a tenure-eligible title series, time spent as a Lecturer Series faculty employee shall not count toward eligibility for sabbatical leave nor as a part of the individual's probationary period.
3. Lecturers Series faculty employees are eligible for the same University employee benefits, such as retirement, health care and life insurance plans, as other regular faculty employees. Similarly, temporary disability leave may be granted by the Provost.
4. Lecturer Series faculty employees are entitled to the right of appeal on matters of procedure, privilege and/or academic freedom that is afforded faculty employees in other faculty series, as prescribed in the Administrative Regulations (AR 2:1-1, Sections XI and XII) and as provided in the Governing Regulations (GR I.I).

## References and Related Materials

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GR Part I, The University of Kentucky (Definition)

AR 2:1-1, Procedures for Faculty Appointment, Reappointment, Promotion and the Granting of Tenure  
AR 3:10, Tenured Faculty Review and Development Policy

## **Revision History**

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AR II-1.0-1, Page II.S: 7/1/2005

AR 2:9: 7/1/2008

For questions, contact: [Office of Legal Counsel](#)



## Voluntary Series Faculty

### Major Topics

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[Procedures](#)

[Criteria](#)

### I. Introduction

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Voluntary faculty employees have an official faculty appointment and devote part of their time to a program in an educational unit, but receive no salary. Such faculty employees usually are self-employed or hold full-time positions with other institutions and agencies. The procedures for appointment, reappointment and promotion of voluntary faculty at the various academic ranks generally parallel those for the tenure-eligible title series, except for those procedures prescribed below, and that outside letters of evaluation, faculty letters of evaluation and reference to an Area Committee are not required for appointments, reappointments, and promotions.

### II. Procedures

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- A. An educational unit administrator will bring the name, C.V. and completed Voluntary Faculty Application form of a potential voluntary faculty employee to a regularly scheduled meeting of the unit faculty or, upon delegation by the unit faculty, a meeting of the faculty of a division within the educational unit. The educational unit administrator will propose a suitable rank for the individual under consideration. The faculty will discuss the individual's background and credentials, and will vote on the candidate's suitability for the appointment at a specific rank.
- B. If three quarters majority of the educational unit faculty support the appointment, the educational unit administrator will notify the dean.
- C. The dean will appoint, by letter, the individual as a Voluntary Faculty employee. The appointments will be annually renewed by the dean up to a five-year period, unless the Voluntary Faculty employee had any licensure or malpractice issue, unless the dean received an unfavorable report, or unless a majority of the voting faculty of the educational unit votes that the appointment not be renewed. The Faculty of the educational unit may at any time consider the qualifications of a Voluntary Faculty employee for promotion to higher rank. Reappointment beyond five years shall be reinitiated as described in steps 1 and 2, above.

- D. The educational unit administrator will review the records and participation of the Voluntary Faculty employees on an annual basis to assess the level of involvement and any licensure or malpractice issues and will bring to the attention of the faculty any individuals whose accomplishments merit consideration for promotion.
- E. The dean will report all Voluntary Faculty appointments to the Board of Trustees at least on an annual basis.
- F. In rare cases where the proposed Voluntary Faculty employee requires attending privileges at the University of Kentucky Hospital, the dean will forward the nomination to the Chief Medical Officer. The Chief Medical Officer will confirm that the individual has the appropriate credentialing and will initiate the internal process to obtain approval by the Board of Trustees.

### III. Criteria for Academic Ranks

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Criteria for academic ranks of Voluntary Faculty shall be approved by the Dean, acting on the recommendation of the Faculty of the initiating educational unit. Voluntary Faculty employees are not eligible for tenure, faculty benefits, and membership in the University Senate or election to the Board of Trustees. However, Faculty membership, with or without voting privileges, may be extended to Voluntary Faculty by the Faculty of the educational units to which they are assigned.

#### Revision History

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AR II-1.0-1: 7/01/05

For questions, contact: [Office of Legal Counsel](#)