

**Preamble: Criterial Expectations and Statements of Evidence**

**University Criteria.** Under the Governing Regulations of the University, the University-level criteria for performance, reappointment, promotion and tenure are established by the President (GR VII.D; GR VII.F.2.e). These University-level criteria have been promulgated by the President in AR 2. The President’s office has directed that no other “criteria” are to be established (10/04/1995).

**Unit Criterial Expectations.**

The President’s office (02/08/1996) has directed that under Administrative Regulation 3:10.B.4, each department faculty may elaborate its **criterial “expectations”** on how the University-level criteria for academic ranks (below) apply to the department for **Regular Title Series** or **Research Title Series**.

The University-level criteria for **Regular Title Series** (AR 2:2) include evaluation of “excellent scholarship,” “external recognition” at the “regional” or “national level,” but the regulation does not define what those terms mean in regard to each department’s research-intensive or instruction/service-intensive faculty.

The University-level criteria for **Research Title Series** (AR 2:5) include terms of “independent” and “outstanding” regarding research, but the regulation does not define what the terms mean for each department.

The criteria for ranks of the **Special Title Series** (STS) are “special” to each STS position and are proposed for each position by the department (AR 2:4).

In addition, the COM requires a format of promotion/tenure C.V. that necessitates definition of down to a “local” range of recognition. The DTCB adopts the following definitions for all its present title series. These refer to the level of the organization of the recognition, i.e., an invited talk at national conference held at UK is a national recognition.

Institutional	Within UK
Local	Within KY
Regional	Adjacent States
National	United States

**Statements of evidences.** Within the above framework of University criteria, and department criterial expectations, the Governing Regulations require that the Core faculty of the DTCB shall develop a written statement describing the evidences of activity in instruction, research and service that are appropriate to the unit’s field(s), for use in guiding evaluations (GR VII.E.5.(c)).

**Primary area of assignment.** “Evaluation of a faculty employee’s performance in each area of activity should be commensurate with his or her approved distribution of effort” (AR 2:2). Hence, the DTCB criterial expectations and statements of evidences elaborate appropriate focus what is the area of primary assignment of effort.

**Intent.** The following criterial expectations and descriptions of evidences of activity toward University-level criteria are provided as a mechanism of furthering clarity and communication within the DTCB, and with the administration, on the expectations for activities of Core faculty whose primary appointments are in the unit. In addition, provision of examples of evidences that will be accepted for consideration under those University-level criteria and the DTCB criterial expectations further assists the subject faculty member in preparing evaluation materials that fully illustrate merits of their case. University regulations require that all personnel considerations be performed on the basis of merit (AR 2:1-2). Thus, documentation of the unit-level criterial expectations statements on discipline-appropriate evidences enables participating faculty to protect the opportunity that the regulations intend for the subject faculty members to have the full merits of their cases assessed. The DTCB criterial expectations for ranks in each title series, and the evidences used within the DTCB will be approved by the Dean of the College of Medicine as consistent with the University-level criteria.

**Assistant Professor: Criterial Expectations**

- The individual shall have earned the terminal degree appropriate to the field of assignment as recognized by the academic discipline. For the research disciplines in toxicology and cancer biology, this is a **Ph.D. or equivalent**.
- The **capability for excellent** instruction, research or other creative activity, and service, and potential for significant growth. Evidence will include the C.V., peer review letters, and interview presentations.

**Associate Professor: Criterial Expectations.** For the rank of Associate Professor, the individual shall have demonstrated

- High and continuous scholarly achievements, commensurate with the individual's assignments in areas below.
  - Further, the individual should have earned **national recognition for excellence** in her or his scholarly activities **in the primary area of assignment**.
- (1) teaching, advising and other instructional activities;
- Evidences toward **high, scholarly achievement in instruction as an area of primary DOE assignment** will include activities in established curricula, non-curricular student-contact and advising activities, development of new courses/curricula, and/or non-contact activities such as admissions or program review committees.
  - The evidences of scholarly **quality** of instructional area achievement will be those showing value by students and esteem by peers, academic and career success of taught students and mentees, and/or the positive attention of other university units and their students to ongoing and newly developed curricula.
- (2) research or other creative activity
- Evidences of **high, scholarly achievement in research as the area of primary DOE assignment** will be those showing acquisition (or participation in acquisition) of the extramural funding necessary to sustain continuous productivity
  - The research products will be scientifically and/or socially **impacting** research, public dissemination of the research in **peer-reviewed** mechanisms, generation of sought-after intellectual property, and/or other evidences of recognition by the disciplinary field.
- (3) professional, university and/or public service.
- Evidences toward **high, scholarly achievement** in professional, institutional and community service activities will be those showing attendance and activity in national professional societies of the discipline, and effective *participation* on departmental and/or college committees and in department meetings/decisions, and using scholarly expertise to help individuals of the community to enrich their lives, well-being and education literacy.

**Professor: Criterial Expectations.** For the rank of Professor, the individual shall have demonstrated

- High and continuous scholarly achievements, commensurate with the individual's assignments in areas below.
  - Further, the individual should have additionally evidenced an earned **national recognition for excellence** in her or his scholarly activities **in the primary area of assignment**
- (1) teaching, advising and other instructional activities;
- Evidences toward **scholarly excellence** in the area of academic instruction will include those evidences concerning the established curriculum, non-curricular student-contact and advising activities, development of new courses/curricula, and/or non-contact activities such as admissions or program review committees.
  - The evidences of **high professional recognition** in the instructional area will include those showing high value by students and esteem by peers, academic and career success of taught students and mentees, and/or the attention of other university units and their students to ongoing and newly developed curricula.
  - **If the primary area of assignment** is instruction/instruction-related service then, additional evidence may include (a) leadership in development of new, innovative instructional programs that are approved by **University peer** mechanisms, lauded by higher education experts **external to UK**, and attracts national and **international** students, (b) creative pedagogy, (c) leadership in the recruitment, retention and wellness of students, (d) peer-reviewed published scholarship, and/or (e) formation and adoption of effective new education policy.
- (2) research or other creative activity
- Evidences toward **high, scholarly achievement** in research will be those showing acquisition (or participation in the acquisition) of the extramural funding necessary to sustain continuous productivity of scientifically and/or socially **impacting** research, public dissemination of the research in **peer-reviewed** mechanisms, generation of sought-after intellectual property, and/or other evidences of esteem by the disciplinary field.
  - **If research is the primary area of assignment**, additional evidence may include (1) leadership and innovation in the maintenance of extramural funding, (2) creative research scholarship that has earned **national**, perhaps international recognition and (3) other pertinent indicators of excellence in the opinion of disciplinary colleagues.
- (3) professional, university and/or public service.
- Evidences toward **high, scholarly achievement** will be attendance and activity in national professional societies, and effective *participation* on institutional committees and in department meetings/decisions, and using scholarly expertise to help individuals of the community to enrich their lives, well-being and education literacy.
  - **If service is a significant assignment**, additional evidence may include (a) repeated solicited or elective service to national professional societies, and/or national peer review panels, to institutional governance positions or to lead activities in community service, (b) adoption of recommendations into policy that broadly applies to the profession, institution or community and/or (c) award or other recognition for the quality and impact of service activities.

## Statements of Evidence

### Research Area of Activity (AR II-1.0-1.A.2)

- (1). Expectations of Activity in Research. In accordance with the Governing Regulations (GR VIIA.6.(c) and the Administrative Regulations (AR 2:2), it is expected that Core DTCB faculty will produce peer reviewed publications. DTCB Core faculty are also expected to vigorously seek sufficient extramural funding to the extent necessary to sustain continuous productivity, the success of which and level of funding being commensurate with the funding levels and award rates of funding sources in the individual's discipline. The quality of publications will also be considered, assessments of which will be assisted by evidences of quality described below. Additional activities in research beyond journal articles (sustained as needed by extramural funding) are expected, the particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member.
- (2). Acceptable Evidences of Research Activity under the criteria area of research, or activities in support of the research program, include but are not limited to those listed. (Some of these evidences may also be appropriate under Professional Service)

#### (a) Quantity of activity

##### i. Publications (in order of importance).

- Number of refereed journal publications or refereed books.
- Number of publications as book chapters, symposium proceedings.
- Number of publications in un-refereed journals, popular press articles, intramural publications, etc.

(For multiauthored publications, the contribution of the faculty member to the publication should be made clear and duly assessed).

##### ii. Non-published activities.

- Patent submissions; income to the University from patents and intellectual property
- Development of computer software, cell lines, organic compounds, etc. of interest to scientific community.
- Recruitment of postdoctoral scholars, technical staff.
- Intramural interdisciplinary/inter-investigator research interactions.

#### (b) Quality, Significance and Recognition of Research Activity.

##### i. Quality of Publications

- Reviews of the work and number of its citations in peer review publications; laudatory comments in external manuscript reviews
- Societal/public impact such as informing public policy, references in patents, citations in online encyclopedias, press coverage, social media engagements, and reads/downloads/views.
- Educational impact such as inclusion in academic textbooks, syllabi, and course curricula.

ii. Research Recognition (AR 2:2)  
(Some of the evidences here may also be applicable to Professional Service)

- Success in acquiring contracts, patents, extramural and intramural grant awards, with appropriate weighting for size/source of award, & award rate.
- Success in obtaining extramural grant awards as PI or co-PI.
- Ranking level of proposal by awarding group.
- Laudatory comments contained in grant reviews.
- Invitations to give symposium presentations, write review articles, seminars at other institutions, etc.
- Invitations to provide book, journal article or grant reviews.
- Expertise inquiry from media
- Invitations to provide expert witness testimony
- Scope of invited event-local, regional, national, international presentations.

**Instruction**

- (1). Expectations of Activity. Core faculty are expected to participate in activities of the DTCB instructional program. It is also expected that each faculty member participate in the recruitment of DTCB graduate students and will attend departmental seminars and similar department-level educational events. Additional activities beyond these specific criterial elaborations are also expected, the particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member.
- (2). Acceptable Evidences of Instructional Activities include, but are not limited to, those listed
  - (a) Quantity of Instructional activities.
    - i. Academic instruction within established curriculum.
      - Classroom lectures given, laboratory exercises conducted, topical projects directed-actual contact time.
      - formal office hours associated with courses being taught; number of students hours provided.
      - development of lecture, exercise, topic materials; preparation of syllabus, grading exams, reports, etc.
      - organizing appearance of lectures in multi-instructor courses.
      - assignments in direction and advising students on conceptualization, organization and execution of scientific studies.
      - advising/teaching postdoctoral trainees in an apprenticeship role, for which UK gets matriculation credit with the Council on Postsecondary Education.
      - direction of curricular seminars
      - guest lectures in the classes of other instructors
      - mentoring junior faculty or contributing to continuing education of senior faculty
    - ii. Academic Instruction-new curricula
      - development of course proposals; pursuing administrative approval processes, etc.
      - writing new, original lecture/laboratory materials for new course
      - advertising new course
    - iii. Non-curricular student-contact and advising activities

Applies to all nature of advising high school, undergraduate, graduate, professional, postdoctoral and other categories of students, whether in capacity as individual or committee member

- formal assignments in undergraduate, graduate student coursework advising
- advising students on career strategies/opportunities
- advising students on preparation of job applications, teach job seminar skills
- advising students on preparation of intramural seminars
- advising students on writing grant proposals, manuscripts, etc.; presentations at scientific meetings
- advising students on conceptualization, organization, execution of formal research projects
- advising students in misc. situations
- student recruitment visits to other locations, interviews with prospective students

iv. Non-curricular Instruction-related activities

- organizing student research talk or journal club activities
- teaching publications, meeting presentations on teaching techniques and issues
- attendance at teaching workshops; teaching sabbaticals
- service on graduate committees of students under the direction of other faculty
- participation on student admissions committees, student appeals committees, etc.
- teaching program assessment committee activities, etc.
- writing letters of recommendation for students or graduates

(b). Quality of Instructional Activities

i. Instruction within established curriculum

- student evaluation ratings
- narrative evaluations by students, colleagues, DGS, others who attended lectures
- narrative evaluations by student groups, graduates, testimonials by parents or other associates of students
- incorporation of new research advances into instructional materials
- ability to organize and present class material logically and with conviction

ii. Instruction-new curricula

- efforts to improve instruction through innovative and experimental approaches
- success of experimental or new course offerings

iii. Non-curricular student-contact and advising activities

- success in student recruitment or retention
- student success following adoption of advisory recommendations
- student success in competitions or job application interviews, etc.
- success of student organizational activities, which the faculty member advised on

iv. Non-curricular Instruction-related activities

- success in student in obtaining jobs for which the faculty member wrote in support of the student
- intramural and extramural requests for published teaching materials
- solicitation for additional, future service in teaching-related advisory capacities
- smooth, effective functioning of admissions, appeals, and other committees

## **Public (Professional/Community) and Institutional Service (dept, college, university)**

- (1). Expectations of Professional Activity. It is expected that Core faculty will be members of one or more professional societies within their discipline. It is also expected that a formal presentation will be given at a national-level or international-level scientific meeting at least once per year by the faculty member or representative from his/her research group. Additional activities beyond these specific criteria evidences are expected, the particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member.
- (2) Encouragement of Public Community Service. Faculty are encouraged disseminate or demonstrate the application of research and learning to community health and spirit. Community service is a means by which faculty can use their scholarly expertise to contribute to the life of the community by helping individuals to define and pursue personal goals which enrich their own lives and well-being. Through community service faculty enhance the health and education literacy of communities.
- (3). Expectations of Institutional Service Activity. It is expected that Core faculty will actively participate on DTCB committees, and perform other actions in faculty governance that are necessary for the smooth and effective functioning of the DTCB. In connection with this evidence of activity, the Department Chair shall ensure that all Core Faculty serve on DTCB Committees prior to mandatory tenure or promotion considerations (AR II-1.0-1). Additional activities beyond these specific criteria elaborations are expected, the particular combinations of activities being determined by the needs of the public, university, College of Medicine and DTCB, and by the academic freedom of the faculty member.
- (4). Acceptable Evidences of Activity in the Area of Service include, but are not limited to, those listed below.
  - (a). Quantity of service activities.
    - i. Institutional (department, college, university) activities
      - committee or other activities toward formation of policy or decisions or actions
      - participation in activities of faculty governance in educational policy formation
      - participation in - faculty personnel processes, evaluation of unit staff, etc.
      - performance of administrative duties (e.g., unit administrator, head of task force, Director of Graduate Studies, etc.)
      - participation in unit reviews, recommendations on budgetary matters, intramural awards, etc.
      - solicitation of gifts to the university
      - graduate advisory committees of students in other university programs
      - internal University project/grant proposal review panels (e.g. or pilot grants)
    - ii. Public (Professional/Community) Service Activities  
(some of these may also be offered as UK institutional service)
      - serving as expert witness, rendering professional opinions in legal, govt. venues
      - presentations to lay groups related to area of expertise

- participation in teacher in-service training; speaking to students in public school system; participation in other programs interfacing the university to the public
- National/international proposal review (NIH, NSF, AHA, DoD; EU, etc.)
- Providing scientific advice to potential and actual users of UK Core facilities
- Organizing Symposia/Workshops at the National or International level
- Writing support letters for Core users (UK and external)
- Providing advice for grant proposals (experimental design, text, references)
- Society memberships, offices held, or functions provided to, professional societies.
- Attending professional meetings, oral presentations, posters
- Review of papers, book chapters, on-site review teams, editorial councils,
- Securing professional license.

(b). Quality of Institutional, Professional or Community Service Activities

- i. Adoption of recommendations made in advisory capacity
- ii. Letters of appreciation from clientele or other recipients of service activity. Success in soliciting gifts to university.
- iii. Positive feedback on symposia and workshops
- iv. Full attendance at symposia/Workshops
- v. Competitive grant awards; Service awards
- vi. Expressions of appreciation from journal editors, authors for quality of reviews
- vii. Expressions of appreciation from panel or symposium organizers, administrators on quality of the service.
- viii. Requests for additional information from attendees of symposium.
- ix. Solicitation for your provision of professional service again on panels, teams or as event organizers.
- x. Election to professional office.

**Professional Development**

The following can be included as evidence of activity in professional development

- Attending Symposia and/or Workshops at UK or extramural professional events
- Attending National or International Conferences
- Attending DTCCB, Markey CC, COM or other UK academic seminars
- Research Retreats
- Sabbatical Leave
- Other activities of continuing education

**AMENDMENTS AND APPROVALS**

In accordance with GR VII.E.2.c, the part of this document that is the Statement of Evidences is for reappointment, promotion and tenure is approved by the Core faculty. The Department Chair then forwards the approved Statements of Evidences to the dean for final approval. After final approval, the document is repositied with the University Senate Council Office for posting on its web site.

Most recent date of:

Faculty Approval (chair signature confirmation): \_\_\_\_\_ (May 21, 2019)

Dean Approval: \_\_\_\_\_