

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 DTCCB 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 DTCCB 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 DTCCB 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 DTCCB, 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 DTCCB 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 DTCCB criterial expectations for ranks in each title series, and the evidences used within the DTCCB will be approved by the Dean of the College of Medicine as consistent with the University-level criteria.

University Administrative Regulation AR 2:5

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.

Assistant Research Professor

(1) Research

- The individual has 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. Evidence will include the C.V., peer review letters, and interview presentations

(2) Department service

- 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, and if so, attendance to faculty meetings is expected.

Associate Research Professor

(1) Research

- Individual has shown continuous improvement, contribution and accomplishment in research or other creative activity at a level that accomplishes support of the individual's position through contracts, grants, or other designated funds.
- Some evidence of regional recognition for excellence appropriate to the research field of assignment, including merit of coauthorship on peer-reviewed publications (See Research section, "Statements of Evidence").

(2) Graduate student mentorship

- If appointed by the Dean of the Graduate School to codirecting graduate theses and dissertations, or-to serving on graduate advisory committees, the quality of performance will be attested by the mentored students and committee colleagues

(3) Department service

- 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, and if so, attendance to faculty meetings is expected.

Research Professor

(1) Research

- In the opinions of colleagues and administrators, the individual is outstanding in research or other creative activity that provides position support through contracts, grants, or other designated funds-
- National, perhaps international recognition, including for the quality of performance reflected in the coauthored peer-reviewed publications and other research evidences appropriate to the field (See Research section, "Statements of Evidence").

(2) Graduate student mentorship

- If appointed by the Dean of the Graduate School to codirecting graduate theses and dissertations, or-to serving on graduate advisory committees, the quality of performance will be attested by the mentored students and committee colleagues

(3) Department service

- 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, and if so, attendance to faculty meetings is expected.

Statements of Evidence (Research Section)

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 DTCCB faculty will produce peer reviewed publications. DTCCB 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 [and attested](#)).

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.