

November 16, 2022

DEPARTMENT OF EARTH AND ENVIRONMENTAL SCIENCES

POLICIES AND PROCEDURES

A. Department Chair responsibilities.

The Department Chair is appointed by the Board of Trustees on the recommendation of the Faculty and the Dean; the Chair serves at the pleasure of the Dean. The Chair's administrative performance will be evaluated in even-numbered years. The Dean's office will conduct this evaluation and will transmit the results of the evaluation to the Department Chair.

The Department Chair or an appropriate substitute presides over all faculty meetings. He or she has administrative responsibility for implementing the department's programs within the limits established by the University Regulations, University Senate Rules, Rules of the Graduate faculty, and Rules of the College.

The Department Chair is responsible for the periodic evaluation of department members (Faculty and Staff) with the advice of the Personnel and Budget Committee, by procedures and criteria established by the University, the College and the Department (see *Department Guidelines for Teaching, Research and Service*). She or he is also responsible for making recommendations on salaries, salary changes and distribution of effort (DOE).

The Department Chair is responsible for administering the departmental budget in accord with University procedures. The Chair shall seek the advice of the Personnel and Budget committee on important budgetary decisions.

The Department Chair is responsible for the overall operation of the Department and such other matters as have been delegated by the Faculty and shall create ad hoc committees (such as the *Advancement* committee) as the Department Chair or the Faculty deem necessary to carry out these duties. When considering an administrative decision that can reasonably be expected to affect the working conditions of one or more members of the Faculty, the Department Chair shall seek the advice of the appropriate departmental committees and/or the affected faculty member(s).

The Chair shall speak for the Department. If the Chair believes it necessary to depart from the opinion of the Department Faculty, the Chair shall communicate the Department Faculty's opinion as well as the Chair's recommendation, stating reasons for differing from the Department Faculty's opinion, and notify the Department Faculty of such action.

B. The Faculty and Students

The Department faculty membership includes both tenured and untenured full-time faculty members and full-time lecturers. Full faculty voting privileges are extended to full-time

tenured and tenure-track faculty members. Faculty voting privileges are extended to full time lecturers on all matters except those pertaining to personnel, tenure-track hires, and the graduate program. The adjunct faculty are non-voting members of the faculty. The voting faculty is subsequently referred to as *the Faculty*.

The Faculty shall delegate to two representatives of its student body (one undergraduate and one graduate major selected annually by the appropriate student group) the right to attend departmental meetings, contribute to discussion on educational policy and vote, (except in the case of budget and personnel matters). In special cases, student representatives can be excluded from voting by a simple majority of the Faculty.

A quorum is defined as one-half of those eligible to vote at a particular meeting (excluding Faculty on official leave). Except where the secret or written ballots are required by other regulations, decisions shall be by voice vote, and in either instance a majority shall suffice. Procedural issues in faculty meetings will be decided on by *Robert's Rules of Order, Newly Revised*.

Minutes of the meetings shall be kept in a permanent file, and copies of the minutes of any meeting shall be distributed to all voting members of the departmental faculty and to the student-members of the standing committees.

Departmental faculty meetings shall be called typically once a month by (1) the Department Chair or (2) upon written request of any three full-time members (see Appendix I for the procedures by which faculty meetings are called and conducted).

The Faculty is responsible for the development of policies on such matters as academic requirements, courses of study, class schedules, graduate and undergraduate programs, research activities, budgetary recommendations, and service functions. In accord with the Governing Regulations it may delegate to the Department Chair and various committees the operation and administration of the departmental program.

Decisions in areas not specifically delegated shall be made by vote of the Faculty, insofar as such actions do not conflict with the Governing Regulations, the Rules of the Senate, or the academic requirements of other departments or units of the University. Any faculty member may request the Faculty to reconsider decisions arrived at by departmental committees delegated to make such decisions.

For purposes such as set forth in the Governing Regulations, sub-faculty groupings shall meet as necessary as *ad hoc committees* by direction of the Department Chair.

C. Standing committees

There are five standing committees of the Faculty: The Graduate Committee, the Undergraduate Committee, the Personnel and Budget Committee, the Diversity, Equity, and Inclusion Committee (DEI), and the Grievance Committee. Members of these committees are appointed by the Department Chair except for the Personnel and Budget

Committee. Grievance committee will only convene when necessary. It is elected by the Faculty and will consist of one Assistant Professor, one Associate Professor, and one Professor. If a member of the Grievance Committee is involved in a matter before the Committee, a temporary replacement will be chosen by the other members.

The DEI Committee will be chaired by a faculty member but include at least one student and staff member to be selected by the committee chair in consultation with Department Chair. The committee will ensure the Department is a learning and working environment that is diverse, equitable, and inclusive for all students, staff, and faculty. This will be guided by the DEI and Code of Conduct statements in Appendix II.

The Personnel and Budget Committee will include the Department Chair and consists of 3 additional tenured/tenure-track faculty to be chosen by lottery. No faculty member will serve successive terms. Tenure-track faculty participation is voluntary and can be exempt by notifying the Chair prior to the lottery. The Personnel and Budget committee oversees the FMER (see section E below).

The Director of Undergraduate Studies (DUS) is appointed by the Department Chair in consultation with the Faculty and the Director of Graduate Studies (DGS) is appointed by the Dean of the Graduate School, in consultation with the Faculty.

The DUS is chair of the Undergraduate Committee and is responsible for scheduling meetings. Together with the Undergraduate Committee, the DUS is responsible for undergraduate course offerings and revisions, nominating students for awards, advising students and maintaining student records, reporting on SACS requirements, and all other matters concerning the undergraduate program. The DUS normally serves for 4 years.

The DGS is the chair of the Graduate Committee and is responsible for scheduling graduate meetings. Together with the Graduate Committee, the DGS is responsible for organizing recruitment materials and graduate applications, awarding of Teaching and Research Assistantships and for nominating students for Fellowships. The DGS is responsible for new TA orientation, filing paperwork on student committees, scheduling examinations and theses and dissertation defenses. The DGS is also responsible for assigning TA's to courses, TA evaluations, and reporting on SACS requirements to the Graduate school and submitting applications for course changes and new courses, and all other activities related to the graduate program. The DGS should work in close consultation with the Chair and the Graduate School. The DGS normally serves for 4 years.

D. Tenure, Promotion, and Re-Appointment

Tenure, promotion, and re-appointment in the Department shall be governed by the University Governing Regulations, College rules and Department guidelines (see *Departmental Guidelines on promotion and tenure*).

The Department Chair is responsible for initiating recommendations on the appointment of a new member of the department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure. The Department Chair must initiate such action if directed by a majority vote of the tenured faculty. All tenured faculty must meet to discuss promotion and tenure cases prior to writing a letter to the Department Chair expressing judgment on the candidate's case. Consultation with directors of multidisciplinary centers or institutes shall be included where the faculty member is or shall be associated with such centers or institutes. The Department Chair will initiate a mentoring program for each early- and mid-career full-time faculty member. The program will be customized and structured for promotion and/or tenure eligible Faculty in all title series to facilitate scholarly success (see Appendix III for procedures).

E. General policies

Faculty Merit Evaluation (FMER). The Personnel and Budget Committee will meet to consider the FMER for individual Faculty, both tenured and untenured. Members of the committee are excused during their own evaluation. Evaluation in the areas of teaching, research and service is addressed according to the Distribution of Effort (DOE) for each faculty member using departmental expectations as guidelines. Members of the committee make recommendations to the Chair, who completes the evaluations, except in his or her own case, where evaluation is made by the remainder of the committee. Appeals are handled by the Dean's office and must be made within a set timetable.

Course Scheduling. – Although the scheduling of courses is generally the responsibility of the Department Chair, it is recognized that the principal source of input should be in the hands of the Faculty. Typically, the faculty member will propose to the Department a specific assignment for the given semester, including courses and times. The Department Chair will then compose the Department's schedule, departing from the Faculty's recommendation only when the needs of the Department seem to demand it, or if there is conflict between the faculty members' choice.

Amendments. These policies and procedures can be amended at any time upon the initiation of any faculty member of any departmental committee. Amendments must be presented in writing and circulated to all faculty, at least two weeks prior to the meeting in which the vote is to be taken concerning the amendment. A two-thirds vote of the faculty present, and voting is necessary for the adoption of an amendment.

Open Meetings Act. Regular Departmental faculty meetings are subject to the provisions of the Kentucky open meetings act and accordingly a posted schedule of meetings is required (see Appendix 1).

APPENDIX I

GUIDELINES FOR COMPLYING WITH THE KENTUCKY OPEN MEETINGS ACT

Departmental or school faculty meetings are subject to the provisions of the Kentucky Open Meetings Act. Department Chairmen and school directors must comply with the new Open Meetings legislation by following the guidelines below:

- 1) Each department or school shall provide for a schedule of *regular* faculty meetings, specifying time and place.
- 2) Put in writing to all departmental or school faculty all notices and agenda for *special* or *called* faculty meetings. The written notice (a memo in faculty mailboxes or email message will suffice) must be given at least 24 hours prior to the meeting time. For special meetings, discussions and action at the meeting shall be limited to items listed on the agenda.
- 3) Post in a conspicuous spot outside the Chair or director's office or in the department or school office an announcement of the regular meeting schedule and notices and agenda for special or called faculty meetings. The posting must be done at least 24 hours prior to the meeting time.
- 4) You are under no obligation to notify the media of scheduled meetings unless you have received a specific request from a news organization.
- 5) When the meeting turns to specific personnel matters dealing with an individual case(s) (promotion, tenure, dismissal, appointment renewal, etc.), you may go into "executive" or "closed" session. These steps **must** be followed before the meeting is closed. This procedure should be followed even if no members of the public attend the meeting:
 - a) Announce in the meeting (this wording is required by statute):

I will entertain a motion to go into executive session for the purpose of discussing personnel matters pursuant to KRS 61.810 (1)(g).

- b) Secure a motion and its second; take a hand vote; confirm that a simple majority has voted in favor of the motion; record compliance with these measures in the minutes.
 - c) Announce that the meeting will go into executive session and ask the public to leave.

d) If a faculty member to be discussed is present at the meeting, you may ask him or her to leave for that portion of the executive session during which his or her case is considered.

e) You may **not** take any action (i.e., a formal vote) on any matter while in executive session; rather, use the executive session solely for the purpose of having vigorous and candid discussion about the strengths and weaknesses of a candidate.

f) Minutes or summaries of executive sessions are not required; indeed, as regards the conduct of executive sessions, the minutes should not show information which would defeat the purpose of holding a closed session.

APPENDIX II
DIVERSITY, EQUITY, AND INCLUSION STATEMENT
AND
CODE OF CONDUCT

DIVERSITY, EQUITY, AND INCLUSION:

Diversity, Equity, and Inclusion are fundamental for a successful curiosity-driven research and education enterprise in the Geological Sciences.

Targets for Realization:

- Recognize DEI as essential elements for excellence
- Support, celebrate, and welcome the successes of each member of the faculty
- Empower and encourage all faculty to be an impactful element of change for DEI
- Promote and advocate DEI within the classroom, laboratory, and field experiences
- Operate as a model department for others across campus

Strategies for Implementation:

- Improve the awareness within the geological sciences of the benefits of a DEI-centric workforce
- Recognize standards and expectations of ethical integrity and behavior for more inclusive and equitable environment
- Provide higher visibility for career paths in the geological sciences among diverse audiences
- Increase faculty diversity in all opportunities
- Reward the broad range of scientific inquiry in the geological sciences equitably
- Promote internal and external collaborative activities
- Organize environment so everyone is empowered and informed regarding DEI issues
- Increase the use of data driven measures
- Regularly assess DEI climate and resolve any recognized systemic deficiencies

CODE OF CONDUCT:

The University of Kentucky Department of Earth and Environmental Sciences is firmly committed to be a workplace conducive to learning and research, and free of uncivil conduct and including that which will undermine learning, research, and self-confidence of others in the department. We strive to work together in an atmosphere of respect, collaboration, openness, safety, and equality. All department personnel (faculty, students, researchers, and staff) have the right to be treated with dignity and respect.

Faculty, students, researchers, and staff in the department will:

- provide a safe and civil working environment
- provide good examples by treating all with courtesy and respect
- be vigilant for signs of inappropriate observed work behaviors and report matters to the chair and the Grievance Committee
- be inclusive and consider and respect opinions of others

As a further guide to departmental expectations, please see the details listed at the end of the document.

Department faculty and students should also read existing university regulations that regulate various aspects of professional and personal conduct (harassment, discrimination, personal relationships, civic responsibility, conflict of interest, etc.) as well as other activities related to their work and activities at the University.

- Ethical Principles and Code of Conduct
<https://www.uky.edu/legal/ethical-principles-and-code-conduct>
- Administrative Regulations
<https://www.uky.edu/regs/administrative-regulations-ar>
- Student Rights and Responsibilities
<https://www.uky.edu/deanofstudents/student-rights-and-responsibilities>

Departmental expectations:

Faculty, students, research associates, and staff peer interaction should:

- Promote an environment that is intellectually stimulating, free of harassment or bullying, advances diversity, inclusion, equity, and collegiality by encouraging cooperation and collaboration in our primary goals of teaching, research, and community engagement
- Be supportive, equitable, accessible, encouraging, and respectful
- Recognize and respect the cultural backgrounds of fellow faculty, research associates, and staff
- Be sensitive to the power imbalance in the tenured full professor-junior professor and faculty-research associate-staff relationships
- Avoid harassment, intimidation, or discrimination in any form
- Avoid physical contact
- Avoid physical or verbal abuse of anyone, including disparaging comments related to gender, gender identity, sexual orientation, physical and mental disability, physical appearance, age, socioeconomic status, veteran status, race, creed, color, religion, ancestry, national origin, marital/domestic partnership/relationship status, or other protected characteristics

APPENDIX III

FACULTY MENTORING PLAN AND ETHOS FOR PROMOTION AND/OR TENURE ELIGIBLE¹

- I. Preamble
 - a. The quality and reputation of the Department's overall scholarship is founded on the effectiveness and success of its Faculty.
 - b. Academic promotion and/or tenure is a measure of recognition for quality faculty scholarship; therefore, to facilitate scholarly success, faculty members will receive focused Department attention through a structured mentoring model that is customized to achieve this objective in an optimized and time-efficient manner.
 - c. Additionally, the Department strives to clearly nurture a "climate and culture" of spontaneous and informal collegial mentoring.
 - d. Promotion decisions for all title series and at all ranks will be made fairly and not influenced by gender, race, or other non-performance factors.
 - e. A Faculty Mentoring Committee will be appointed for each faculty member at the rank of Assistant, and Associate Professor in all title series appointments, including Lecturer, who are eligible for promotion and/or tenure.
- II. Department Chair (DC) Responsibilities
 - a. Coordinate and appoint a Mentoring Committee (MC) for eligible Faculty (see Sec. III).
 - b. Provide early and mid-career Faculty, mentees (ME), with guidance on departmental and college policies for reviews.
 - c. Ensure that service assignments are useful, high-value, and an appropriate amount for the faculty member's rank and distribution-of-effort.
 - d. Facilitate a Faculty review of the departmental Mentoring Plan at least once per academic year. This can be accomplished through the Personnel and Budget Committee, but results and recommendations will be discussed and approved by the entire Faculty.
 - e. Establish and communicate to all parties the need to separate the duties of mentorship and the various other evaluation processes.
 - f. Make sure all Faculty have information on Title IX contacts.
 - g. Review the operating EES Unit Rules, including DEI statement and Code of Conduct.

¹This document was constructed from UK College of Arts and Sciences Mentoring Workshop Notes and Materials (Lyon and Petrone, October 2021), as well as various mentoring maps used by national benchmark and aspirational academic institutions. See Bibliography for complete list.

- h. Ensure early and mid-career Faculty are receiving mentoring as prescribed by this document. DC will do this through direct contact with the MC and ME at least once per semester.
 - i. Approval from the Associate Dean of Faculty is required for a faculty member wishing to abstain from the mentoring program.
- III. Mentoring Committee (MC) – Selection and Responsibilities
- a. Each MC will consist of at least 2 faculty members, one of which will act as MC chair, who have achieved an academic rank higher than the ME.
 - b. The DC, in consultation with the ME, should appoint the MC to ensure a good fit between the ME career goals and MC expertise and accomplishments.
 - i. The DC will communicate to each MC the expectations established for its members and the ME, including their development of a customized plan which provides an optimized time-sensitive path forward in the context of the ME career goals for their title series and academic rank.
 - ii. The MC and ME will formally meet once per semester.
 - iii. The MC will serve a 2-year appointment with the ME, with the possibility of renewal upon mutual agreement between the MC, ME, and DC.
 - iv. The DC should be updated annually by both the MC and ME on the effectiveness of the mentoring relationship.
 - v. At any time, the DC can be confidentially informed by either the ME or MC if changing commitments, incompatibility, goals, etc. are adversely affecting the relationship. In those instances, a no-fault revision to the MC and/or mentoring plan can be enacted.
 - vi. In addition to the formal MC, it is expected all tenured faculty members take an informal, but active mentoring role and network-building of their early- and mid-career colleagues. This can include both the vertical-dyad and peer mentoring models.
 - c. When appropriate, a MC member can and should be selected from outside the Department or University to provide allied discipline and/or other specialized mentoring perspectives; however, an outside member will require becoming familiar with Departmental promotion guidelines and not influenced by the specific standards of their unit.
 - d. At least 1 member of the MC must hold a primary appointment within the Department.
 - e. The DC should refrain from service as a formal member of the MC if possible; in cases where it is most advantageous for the ME to include the DC as a MC member for scholarly reasons, the Associate Dean of Faculty must be consulted and approve.

- f. Mentor Training and Leadership
 - i. MC members must be explicitly aware of their roles and will review available resources, including attending training workshops, prior to their initial meeting with the ME.
 - ii. UK A&S recommended resources include, but are not limited to [mentoring materials and best practices](#) and [National Center for Faculty Development and Diversity](#)
 - iii. The goal for the MC is always the success of the ME, and ideally takes a leadership role in representing the ME accomplishments in departmental reviews, including an annual update to the DC after the formal FMER assessment where constructive communication between all parties can be shared in the context of the performance review.
 - iv. In addition to the once per semester formal meeting, the MC is encouraged to be accessible and readily available to the ME. It is suggested that brief informal communication (e.g., email, calling, dropping by, etc.) take place on a mutually agreed upon periodic basis.

- g. Mentoring Program Expectations, Goals, and Accountability
 - i. General: Assistant and Associate Professors (RTS and STS) and Lecturers
 - 1. Expectations include guidance on issues concerning research, teaching, publications, external funding, and service.
 - 2. Goals include designing an individualized plan for each ME that focuses on the quality and quantity of the expectations in the context of the Departmental promotion guidelines for the ME's title series.
 - 3. Although mentoring plans are individualized, each should address networking opportunities (e.g., introduction to potential research collaborators, funding sources, etc.), effort prioritization (e.g., budgeting time and maintaining proper balance between research, teaching, and service), and mechanisms for identifying problems/concerns and providing constructive criticism/encouragement.
 - 4. Maintenance of a work-life balance should also be addressed.
 - 5. The MC and ME will maintain written notes from the official meetings in a mutually agreed upon manner that can

adequately measure the progress toward and accomplishments of the goals stated in the mentoring plan.

ii. Early-Career

1. Begin forming MC with ME immediately after hiring offer has been accepted so effective communication can begin prior to beginning the initial semester.
2. The DC and/or Department Manager will communicate and explain to new faculty member prior to first semester the Department's operational and financial logistics, including grant submission procedures, contacts, and schedules.
3. Directors of undergraduate and graduate studies should communicate with new faculty member prior to start of first semester to explain program requirements and expectations.
4. The DC is responsible for providing new faculty member with detailed explanation of latest University memoranda related to promotion and tenure, as well as Department's "Guidelines for Faculty Promotion, Tenure, and Evaluation" based on their title series; however, the MC will reinforce the guidance within the context of the mentoring plan.
5. The DC will provide the new faculty member with explanation of the Departmental unit rules and code of conduct prior to the start of the first semester; however, the MC will reinforce the guidance within the context of the mentoring plan.
6. Provide knowledge of university, college, and departmental resources available to ME beyond the negotiated start up. Familiarize ME with campus and its physical environment, as well as the governance structure at the department, college, and university levels.
7. MC and DC, when appropriate, act as sponsors and promote the ME for awards, high-profile committees, etc.
8. Provide insight and examples (where appropriate) of successful, and unsuccessful, grant writing and manuscript development strategies.

iii. Mid-Career

1. DC will begin forming MC with ME immediately after promotion.
2. DC will review latest University memoranda related to promotion, as well as Department's "Guidelines for Faculty Promotion, Tenure, and Evaluation" based on title series;

however, the MC will reinforce the guidance within the context of the mentoring plan.

3. DC ensures service load is equitable and evenly distributed across rank and gender.
 4. Define areas of distinction in the context of career trajectory to date
 - a. Identify trajectory changes from early career, and if present, why they happened---good or bad.
 - b. Identify trajectory changes of interest---research/teaching versus administration
 5. Align future activities with departmental needs/expectations and trajectory goals
 6. Identify obstacles to realizing goals and resources for overcoming the challenges.
- h. Implementation of Mentoring Plan
- i. Declaration of satisfaction of selected and matched MC and ME.
 - ii. Determine mentor meeting schedule.
 - iii. Determine process for no-fault change in MC-ME partnership.
 - iv. Determine strategy for scholarly networking.
 - v. Determine of needed data for measuring progress/accomplishments.
 - vi. Determine the role of the MC-ME partnership with DC.
 - vii. Determine strategy for professionally and satisfactorily resolving disagreements.
- IV. Mentee Responsibilities
- a. Identify and communicate needs and interests to the DC and MC.
 - i. Create career goals, short and long term.
 - ii. Provide supporting materials for MC to consider prior to initial and subsequent meetings.
 - b. Actively engage the MC (and DC).
 - i. Adequate preparation for meetings
 - ii. Attentive listening and questioning during discussions
 - iii. Willingness to work and consider opportunities/ideas outside "comfort zone."
 - iv. Listen and consider formative feedback, both positive and negative.
 - v. Take responsibility for developing scholarly independence.
 - c. Although collaborative by design, the ME schedules meetings, and agendas.
 - d. Engaged in developing broad-based developmental networks.
- V. Bibliography

Brown University:

https://www.brown.edu/research/projects/advance/sites/brown.edu.research.projects.advance/files/uploads/mentoring_guide.pdf

Columbia University:

<https://provost.columbia.edu/sites/default/files/content/MentoringBestPractices.pdf>

Harvard University:

https://facultyresources.fas.harvard.edu/files/facultyresources/files/updated-mentoring_guide_to_departments_2016_10_18.pdf?m=1618343642

Penn State University:

https://www.ems.psu.edu/sites/default/files/documents/faculty_staff/faculty_mentoring_best_practices.pdf

Smith College:

<https://www.smith.edu/sites/default/files/media/Documents/Provost/departamental-mentoring-plans.pdf>

University of Houston:

https://uh.edu/advance/resources/AssociateProfessor_FullProfessorMentoringGuidelines.pdf

University of New Mexico:

<https://geography.unm.edu/resources/for-faculty/files/mentoring-policy.pdf>

Approved by Acting Associate Provost
for Faculty Advancement



Sue E Nokes
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