

# *Policies and Procedures*

**Department of Psychology  
University of Kentucky**

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The purpose of this handbook is to record basic information about how the Department of Psychology operates. The first several sections of the document (A – D) describe various dimensions of organization of the department. The final section (E) describes basic operating procedures in the Department.

## **A. Department Administration**

The departmental administrative structure involves several positions with varying responsibilities. The chairperson oversees all aspects of departmental functioning. The associate chairperson has primary responsibility for course scheduling and teaching assignments. The Director of Graduate Studies oversees the functioning of the graduate program within the department and serves as liaison to the Graduate School. The Director of Clinical Training is directly responsible for the functioning of the graduate program in clinical psychology in the department; the Director of Experimental Training is directly responsible for the functioning of the graduate program in experimental psychology. Within the experimental psychology program, there are three program areas with their own coordinators. The three areas are: Behavioral and Neural Psychology (BNP); Cognitive and Developmental Psychology (CADS); and Social Psychology. Finally, the Director of Undergraduate Studies oversees the functioning of the undergraduate program within the department and serves as liaison to the College of Arts & Sciences.

### **Department Chair**

The department chair is appointed by the dean of the College of Arts & Sciences, in consultation with the faculty of the department. The responsibilities of the chair of the department, and the policies relevant to the chair are stated in the governing regulations of the University:

“The department chair leads the department faculty in its development of policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs, and service functions. The chair presides at all department meetings, except as the chair may delegate this function, and is an ex officio member of all department committees. The chair has administrative responsibility for implementing the department’s policies and programs within the limits established by these Governing Regulations, the Administrative Regulations, University Senate Rules, Rules of the Graduate Faculty, the rules of the college, and the rules of any school of which it is a part.

The department chair is responsible for recommendations on the appointment of new faculty members of the department, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint.

The department chair is responsible for the periodic evaluation of department members by procedures and criteria established by the University, the college, and the department faculty.

The department chair submits the budget request for the department and administers the budget after its approval. The chair also is responsible for making recommendations on salaries, salary changes, and distribution of effort.

In connection with the above major administrative functions, the chair shall seek the advice of members of the department, individually or as a group, or of advisory committees that

the chair may appoint. Staff employees shall be consulted, when appropriate, by the chair, in the development of administrative policies and on decisions that directly affect staff employees.

The chair shall speak for the department. In the event that 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.

The term of a department chair should consist of four years. Ordinarily, a department faculty member will be asked to serve as chair for only one (1) term. A chair may be reappointed, however, when the faculty advisory committee appointed to review the work of the department (ARII-1.0-6) finds that the particular circumstances and needs of the department make such a reappointment desirable. Reappointment beyond the second term may occur under exceptional circumstance when it is deemed to be in the best interests of the University.”

### **Associate Chair**

The associate chair of the department is appointed by the chair of the department. The general role of the associate chair is to facilitate the work of the department chair. The primary responsibility of the associate chair is to organize all course scheduling and teaching assignments of both faculty and teaching assistants. In addition, the associate chair allocates teaching assistantships and reviews teaching ratings at the end of each semester. Included in this responsibility is working with the departmental administrator to identify funding sources for teaching positions. Finally, the associate chair assists the department chair with other departmental duties, as requested. The associate chair temporarily assumes the responsibilities of the department chair when the chair is unavailable.

### **Director of Graduate Studies**

The Director of Graduate Studies (DGS) is appointed by the Chair of the Psychology department, subject to approval by the Dean of the Graduate School. Broadly speaking, the role of the DGS is to serve as the liaison between the graduate programs in the department and the Graduate School (GS). This typically involves:

1. Relaying information from the GS to faculty and graduate students
2. Responding to requests for data on the graduate programs from the GS
3. Answering graduate student questions regarding GS regulations, often in consultation with the GS
4. Chairing the Admissions and Awards committee for the department
5. Nominating students for GS Fellowships following input from the Admissions and Awards committee
6. Approving candidates for admission to the graduate programs with input from the Admissions and Awards committee
7. Applying for GS funds for recruitment and TORA tuition fellowships
8. Allocate GS recruiting funds across departmental areas
9. In consultation with the departmental Business Manager, allocate TORA tuition funds at the start of each semester
10. Endorsing graduate student requests for travel and research funding from the GS

11. Providing information to incoming graduate students in the summer prior to their arrival on campus
12. Organizing the departmental orientation for new graduate students at the start of the Fall semester
13. Approving graduate student requests for supervisory committees, adding and dropping courses, scheduling of defense meetings, and signing final exam cards
14. Signing all theses and dissertations
15. Monitoring activity of the Graduate Student Advisory Committee, which functions as a delegated arm of the DGS and tracks student progress through the program
16. Consultation with graduate students having difficulty with advisors or programs
17. Petition GS as appropriate to waive or modify graduate student requirements

### **Director of Clinical Training**

The Director of Clinical Training (DCT) is appointed by the department chair in consultation with the clinical faculty. The DCT administers all aspects of the graduate program in clinical psychology that are specific to that program.

The DCT is responsible for insuring that graduate training meets all of the requirements of the accrediting institution (e.g., course requirements, supervision requirements, internship requirement). In addition, the DCT supervises all personnel/training issues that emerge during training. For example, students having serious difficulties are placed on probation by consensus or majority vote of the clinical faculty, and the DCT serves as chair of any probation committee. The DCT also serves as liaison between the clinical faculty and the departmental training facility (the Jesse G. Harris Psychological Services Center), and between the clinical faculty and community psychologists who provide clinical supervision to students. Within the department, the DCT: leads the faculty of the graduate program in clinical psychology; attends to the smooth operation of the training program; appoints a faculty member to head the recruitment of new graduate students; aids senior students in obtaining internships; and takes responsibility for new initiatives relevant to the vitality of clinical training.

A periodic, major responsibility of the DCT is to prepare all documentation for the process of accreditation of the clinical training program by the American Psychological Association. The accreditation process involves a self-study, which includes multiple volumes of information about the program. In addition, the DCT completes an annual accreditation protocol that involves reports on the activities of each clinical graduate student and each member of the departmental faculty.

### **Director of Experimental Training**

The Director of Experimental Training (DET) is appointed by the department chair in consultation with the experimental faculty. The DET oversees the graduate programs in Behavioral and Neural Psychology, Cognitive and Developmental Studies, and Social Psychology. This is done in consultation and cooperation with the coordinators of the three program areas. In this way, the administrative functioning of the DET is different from that of the DCT. The three program areas function autonomously with respect to graduate training in the sense that the program areas are individually responsible for the recruitment of new graduate students. In addition, mentoring of graduate students often occurs mainly within area

boundaries, although this is not true for all students nor is it a necessary characteristic of graduate training in psychology (this is merely the current reality). Officially, a student's committee (Master's, Qualifying Exam, Dissertation) has direct responsibility for mentoring of the student. However, program areas generally closely monitor each student's progress and meet annually to provide a formal evaluation of each student's progress.

In cooperation with the associate chair and the coordinators of the three program areas, the DET coordinates scheduling of graduate courses by the experimental programs. The DET also is the representative of the experimental training programs at the departmental level, advising the department chair on matters relevant to the faculty and students in the experimental program. Finally, the DET leads new initiatives that are relevant to the overall program in experimental training.

**Coordinators of Program Areas.** The coordinators of the three experimental programs are responsible for immediate administration of the graduate training program in the area. Each area coordinator is the resource person for current and prospective students who have questions about the program. Additional responsibilities include coordinating the orientation for first year students, organizing the graduate course offerings for the area, guiding graduate admissions and awards in the area program, setting up end of the semester meetings, collecting end of the year student evaluations, assigning the coordinator of weekly research presentations (i.e., "brown bags"), updating program documents, and arranging area faculty meetings. The coordinator also represents the program area when students have concerns about their progress that can not be handled by their Advisory Committee. Finally, the coordinator initiates program area discussions and actions concerning students who are not making sufficient progress or who are not meeting their responsibilities as students or as TA's. Although the coordinator has all these responsibilities, much of work involved in carrying out many of these activities is divided up among the program faculty.

### **Director of Undergraduate Studies**

The Director of Undergraduate Studies (DUS) is appointed by the chair of the department in consultation with the faculty. Broadly speaking, the role of the DUS is to serve as the liaison between the department and the College of Arts & Sciences in all matters relating to undergraduate education. The DUS works closely with the undergraduate advisor within the department to make certain that department majors and minors are well-served by the department. The activities of the DUS typically involve:

1. Meeting with high school students who are interested in majoring in psychology and their parents
2. Responding to all the questions about our undergraduate curriculum from high school students and individuals who are interested in transferring to UK
3. Handling all course transfer equivalency requests by the Registrar's Office & the A & S
4. Helping with students in choosing psychology courses while they study in another country
5. Meeting with, and advising all psychology minors
6. Overseeing the advising process for psychology juniors and seniors
7. Handling all petitions made by minors and majors

8. Attending undergraduate advising conferences (e.g., merit weekend)
9. Putting together all the materials for all the undergraduate course/program change proposals
10. Responsibility for outcome assessment of the undergraduate program
11. Responding to requests for data on the undergraduate program from the college
12. Coordinating the selection process for various awards (e.g., Outstanding Psychology Major Award, Mary Agnes Gordon Scholarship, Outstanding TA Award)
13. Chairing the Curriculum Committee for the department

## **B. Faculty**

### **University Governing Regulation**

“The membership of a faculty of a department shall consist of a chair and the regular, full-time members of the department who are members of the faculty of the school and/or college of which the department is a part. Membership, with or without voting privileges, also may be extended or withdrawn by the above department faculty to any person assigned to the department for administrative, instruction, research, extension, clinical or librarian work. An individual may be assigned to more than one department; in this instance, one assignment shall be designated as primary by the Provost.

Within the limits established by the Governing Regulations, the Administrative Regulations, University Senate Rules, Rules of the Graduate Faculty, or the rules of the faculties of the school or college of which the department is a part, the department faculty has jurisdiction over matters concerning its educational policies.

The department faculty has primary responsibility for the development of policies on such matters as academic requirements, courses of study, course offerings, graduate and research programs, and service functions. Jointly with the department chair, the department faculty shall establish procedures to be used within the department concerning (1) recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint; (2) the faculty performance evaluations and (3) preparation of budget requests. The procedures in (1) and (2) above shall include consultation with directors of multidisciplinary research centers and institutes for those faculty members who are or shall be associated with such centers or institutes. The department faculty may 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 department faculty, those statements must be submitted by the chair of the department to the dean for review and final approval before the statements are made operative in the department. Revisions to a department’s statements, upon approval of the department faculty, must also be submitted by the department chair to the dean for review and final approval.

The academic or scholastic requirements of a department may exceed, but not be lower than, those of the school and/or college of which the department is a part. The University Senate must approve any such differences in standards.”

## **Categories of Faculty**

There are three categories of faculty membership in the department. Most faculty are **regular title series** appointments; some are classified as **special title series** appointments; some are **lecturers**. The regular title series and special title series faculty are tenured or tenure-track appointments; the lecturer appointments are not tenured or tenure-track. There are several distinctions among the three categories. One distinction is with respect to whether an appointment is tenure-track, as already noted. A second distinction is with respect to distribution of effort. A regular title series position entails a 2+2 teaching load, approximately 50% time on research, and 5% service commitment, although the distribution of effort is somewhat variable. Both a special title series and lecturer appointment entails a 4+4 teaching load. The special title series positions involve more service than the lecturer appointment and may involve a small research effort. Again, there is some variance in distribution of effort across individuals with the same position classification.

With respect to voting privileges, all categories of faculty membership are expected to participate in departmental activities, including faculty meetings. On most items of business concerning the department, all faculty members are encouraged to express their perspectives and thus influence departmental policy. However, in some arenas, the privileges of the tenure-track faculty members (regular and special title series) are distinct from those of the lecturers. Specifically, only tenured faculty make recommendations on faculty appointments, promotions, reappointments, terminal appointments, post-retirement appointments, and the granting of tenure and decisions not to reappoint. Both associate professors and full professors make recommendations on tenure and promotion to associate professor; only full professors make recommendations on promotion from associate professor to professor. Finally, only tenured, full professors may be involved in the process of determining faculty performance evaluations.

## **Standing Departmental Committees**

The standing committees in the department consist of: (1) the Executive Committee; (2) the Performance Evaluation Committee; (3) the Graduate Student Advisory committee; (4) the Admissions and Awards Committee; (5) the Curriculum Committee; (6) the Colloquium Committee; (7) SURE Committee (Subject Use and Research Ethics). Committee appointments begin on July 1 and end on June 30. The Department Chair appoints the chairs and members of all department committees, and serves as an *ex officio* member of all committees. The chair also has the authority to create *ad hoc* committees (e.g., search committees for new hires) and assign faculty to those committees. A University Governing Regulation requires that a copy of the minutes of all Department Committee must be made available to the public upon request.

1. Executive Committee is chaired by the department chair and consists of the chair, associate chair and other full professors, as designated by the chair. The committee serves an advisory role to the chair.
2. Performance Evaluation Committee is chaired by the department chair and consists of up to four additional full professors. The purpose of the committee is to assist the chair in the process of developing merit evaluations of faculty.



3. Graduate Student Advisory Committee is chaired by a tenured faculty member and includes a representative of each graduate program area in the department. The purpose of the committee is to monitor the progress of graduate students toward their degrees, to advise students when progress is not adequate, and to apply sanctions when they are deemed appropriate by the committee. The committee also hears appeals of decisions to apply sanctions. Finally, the committee is also a resource for graduate students who require mediation of any other matter that may be relevant to their academic standing in the department. (See Appendix A for a complete statement of the departmental rules with respect to adequate progress through the graduate program, and the procedures and consequences associated with failure to make adequate progress.)
4. Admissions and Awards Committee is chaired by the Director of Graduate Studies and includes faculty representatives from each of the program areas. This committee evaluates area recommendations for admission of new graduate students. It also determines which graduate students (prospective or enrolled) will be nominated for University fellowships.
5. Curriculum Committee is chaired by the Director of Undergraduate Studies and typically includes 2-4 additional faculty. This committee may make recommendations to the department concerning additions, deletions or changes to the undergraduate curriculum. The committee also prepares any paperwork associated with changes in the curriculum and guides the paperwork through the college and university committees responsible for curricula.
6. Diversity Committee is chaired by a faculty member appointed by the department chair and typically consists of 2 or 3 additional faculty members. The responsibility of the committee is to promote diversity initiatives within the department.
7. Colloquium Committee is chaired by a faculty member appointed by the department chair and typically consists of 2 or 3 additional faculty members. The responsibility of the committee is to identify and arrange for speakers from outside the department to present research talks to the department.
8. SURE Committee is chaired by a faculty member appointed by the department chair and two additional faculty members. At least one of the members must also be a member of the University Internal Review Board. This committee evaluates requests for participants from the PSY 100 subject pool, performing an expedited review of protocols in accordance with the policies and procedures of the Internal Review Board. The committee also reviews all requests for minor modifications to SURE protocols. It also is responsible for subject allocation policies, conducting participant screening sessions at the beginning of each semester, and all aspects of the administration of the PSY 100 subject pool (e.g., distribution of relevant materials to researchers, processing of credit slips from students). A more complete description of the policies and procedures of SURE is presented in Appendix B.

Finally, in addition to committee appointments, individual faculty members may be assigned responsibility for specific tasks in service of the department, including: (1) newsletter production; (2) Honors Day coordinator; (3) health psychology liaison; (4) Psi Chi advisor.

## **C. Staff**

The staff of the department has fluctuated somewhat in size, largely as a function of college resources. The present staff structure is comprised of: (1) a departmental administrator; (2) an individual who is responsible for support of all aspects of the undergraduate program, including advising of all majors; (3) an individual who provides secretarial support to the department chair and is responsible for support of all aspects of the graduate program (e.g., admissions processing, secretarial support of DGS); (4) an individual who aids the administrative assistant in bookkeeping and aids faculty in their academic and research purchases; (5) a grants support person who facilitates faculty in the preparation of grant proposals; (6) a computer technician who provides both hardware and software support to the department. In addition to these regular staff positions, many other individuals are employed on research grants held by faculty members. These people serve a variety of roles, from lab technician, to research assistant, to lab manager. All staff report directly to the departmental administrator.

## **D. Students**

The Department takes its educational mission very seriously. It strives to offer a complete curriculum to its majors and minors and to offer required courses on a regular basis so that students have an opportunity to progress in a timely fashion toward completion of the undergraduate or graduate degree.

### **Undergraduate Students**

The undergraduate curriculum is available in the course catalog published by the University. A list of major requirements may be found at the following website: <http://www.uky.edu/AS/Psychology/undergrad/> It is the goal of the department to offer the courses required for the major and minor regularly. However, for those requirements that provide students with an option (e.g., lecture/labs and capstones), it is not possible for the department to offer all options in every semester. It is expected that students will seek advising in the department on a regular basis and will be systematic in planning their schedules. Students who are fully enrolled, who perform satisfactorily in all required courses, and who take the initiative to plan out their schedules well in advance can generally expect to complete the requirements for the major in a span of three years (with allowance in their schedules for college and university requirements, and electives). In addition to the basic major requirements, the department provides a variety of opportunities for students to expand their experiences in psychology beyond standard course work. These include opportunities to do independent research, field work, and involvement in the honorary psychology society (Psi Chi).

### **Graduate Students**

All graduate students are enrolled in the Ph.D. program in either clinical or experimental psychology. All students are expected to fulfill specific course requirements associated with enrollment in a graduate program in psychology. Specific program areas have additional course requirements that must be met by students enrolled in the program area. (The departmental and program area requirements are subject to review and modification, but the current requirements

may be found in program area handbooks on the department website:

<http://www.uky.edu/AS/Psychology/graduate/> ) All students are required to complete the requirements for the Master's degree no later than the end of their third year of enrollment. The requirements include both course work and a research project (i.e., Master's thesis). Following successful completion of the Master's degree, students proceed to take their qualifying exams (typically within 2 years, post-Master's), then propose, execute and defend their dissertation. The expected time-table for completion of all requirements for the Ph.D. is 5 years for students in experimental psychology; students in clinical psychology often defend the dissertation within the same time-frame, but often require an additional year for completion of an internship (which is required for the Ph.D. in the clinical program). It is a requirement of the Graduate School that all students complete their Ph.D. within 10 years of initial enrollment.

It is the commitment of the department's faculty to support each student's successful progress through the program. This commitment entails providing considered advice, thoughtful mentoring, and other forms of support to graduate students. It is the goal of the department to fund every student with a half-time position or fellowship through the fifth year of their enrollment in the graduate program (contingent on a student's successful progress in the program).

It is expected that students will be fully enrolled in the program and will not seek outside employment except with the knowledge and consent of the faculty. Above all, it is expected that students will be fully committed to their own progress in the program. This commitment entails consistent hard work, and close and consistent contact with faculty mentor(s).

1. Teaching Assistants: Many graduate students are supported by teaching assistantships. Occasionally, a TA entails full responsibility for instructing a course; in that event, the student must have earned the Master's degree. The vast majority of TA assignments are to assist a faculty member as the instructor of a lab section or sections. The number of lab sections associated with a TA assignment varies by course, with lower level courses having a greater number of course sections associated with the TA assignment compared to higher level courses. In all cases, a full TA assignment requires 20 hours of work per week and the student works directly with the course instructor in deciding lab content, grading issues, etc. Students with TA assignments receive a stipend determined by the department. They also receive a waiver of tuition. Finally, all teaching assistants receive training and supervision. All TAs are required to participate in University conducted training in August, followed by a departmental orientation. TAs in lower-level courses receive supervision by a faculty member in the Fall, as well as by the instructor of the course to which they are assigned. TAs of upper-level courses are supervised by the course instructor. Appendix C contains a complete statement of TA training policies.
2. Research Assistants: Many graduate students are supported by research assistantships. These stipends typically originate from funded grants and the student is therefore employed by the faculty member with the grant. A full RA requires 20 hours per week and the student works directly with the faculty member with the grant. Duties vary in their specifics, depending upon the nature of the supported research. Duties are assigned by the faculty member. Students with RA assignments receive a stipend determined by the department. In addition, tuition and benefits are typically paid by the grant.

3. Fellowship Recipients: Many graduate students are supported by fellowships from a variety of sources (e.g., various University fellowships; fellowships from outside agencies; Research Challenge Trust Fund awards). Some of the fellowship awards do not require any explicit work requirements, but do place restrictions on a student about other potential forms of employment. Other fellowship awards do require explicit commitments from the student. Stipends and benefits vary.

## **E. Departmental Operating Procedures**

### **University Governing Regulation**

“The department faculty shall hold regularly scheduled meetings, at which the department chair shall preside except as the chair may delegate this function. In addition, it shall hold special meetings on the call of the dean of the college, the chair of the department, or by a prescribed number of its voting faculty. The department chair shall be an *ex officio* member of all departmental committees. Copies of the minutes of departmental faculty meetings and of meetings of department committees shall be made available to all members of the faculty of the department.

The department faculty shall establish rules, procedures and a committee structure concerning educational policy matters over which it has jurisdiction and responsibility, and shall establish its quorum for the transaction of business. These proposed rules, procedures and committee structure shall be submitted to the director of the school (if appropriate), the dean of the college, and the Provost for approval for consistency with these Governing Regulations, the Administrative Regulations, University Senate Rules, Rules of the Graduate Faculty, rules of the college and (if appropriate) rules of the school faculty. Copies of the approved rules, procedures and committee structure shall be made available to the members of the departmental faculty and shall be filed with the director of the school, (if appropriate) the dean of the college of which the department is a unit, the Provost, and the University Senate Council.

Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, the procedures must include consultation with all tenured members of the department, with the directors of any multidisciplinary research centers, graduate centers or institutes with which the affected individuals are or will be associated, and with all full-time non-tenured faculty members (except for temporary faculty or those appointed in the research titles series, clinical titles series, or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two (2) years, except as noted below. Faculty members with appointments in the clinical titles series, however, shall be consulted on a departmental or divisional basis as appropriate about appointment or promotion of individuals to academic ranks equal to or below their own in the clinical title series, but not be consulted on matters relating to appointment, retention, promotion, or tenure of faculty in the regular or special title series. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted member of the department and of each director of pertinent multidisciplinary research centers and institutes, along with the recommendation of the chair.

The following exceptions may be made: (1) faculty members on approved leave of absence or with a primary administrative, service, or other assignment outside the department

may, but are not required to, provide written judgments on all recommendations; (2) faculty members need not be consulted on recommendations for promotion affecting members with equivalent or higher rank, except that all faculty members with tenure shall be consulted on recommendations for granting of tenure; (3) faculty members without tenure need not be consulted on recommendations for granting of tenure; (4) the right to make recommendations on temporary appointments and/or appointments at the assistant professor level or below may be delegated, with these appointments to be reviewed by the tenured faculty of the department during the second semester of the first year of appointment; and (5) in a large and diverse department, upon prior recommendation by the department faculty and approval of the dean and the Provost, consultation with faculty members may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.”

### **Departmental Practices**

All department policies and procedures are subordinate to those set forth in the Governing Regulations, the Administrative Regulations, and the University Senate Rules, including those enacted after the approval of these rules. Within these parameters, some of the important policies and procedures in the Department of Psychology are described below.

1. Departmental Standards for Research, Teaching, Advising and Service: Standards with respect to research, teaching, advising and service are embodied by the statement of departmental expectations with respect to tenure and promotion (see Appendix C). In brief, faculty are expected to strive for excellence in research and teaching, and to perform their advising and service obligations conscientiously.
2. Faculty Performance Evaluation: The general process of determining faculty performance evaluations involves three general steps. A committee of full professors evaluates each faculty member in the areas of research, teaching and service, recommending ratings in each category. These ratings are then considered by the department chair in arriving at final ratings in each category for each faculty member. Finally, the department chair then discusses the evaluations with the Dean of the College to determine each faculty member’s raise for the evaluation period. In recent years, the first two steps of the process have been virtually merged. Typically, three committee members independently rate a subset of faculty with respect to their performance in each of the merit evaluation categories. The independent ratings are then compared and discussed by the entire committee (including the chair) to arrive at a final rating in each category. Although they are typically based on committee consensus, final FMER ratings are ultimately at the department chair’s discretion because the chair has ultimate responsibility for the ratings. The committee members may also assist the chair in the development of a narrative evaluation for each candidate.
3. Staff Performance Evaluation: In each period of evaluation of staff, the department chair invites feedback from all faculty on the performance of each staff member. The chair considers the input in forming his/her final evaluation of each staff person. The department chair then discusses the evaluations with the Dean of the College to determine each staff member’s raise for the evaluation period.

4. Tenure and Promotion Guidelines: All incoming faculty are provided a copy of the department's expectations with respect to tenure and promotion (see Appendix D). In addition, each new faculty member is assigned a senior faculty mentor. The mentor will provide guidance to the new faculty member through the pre-tenure period and, typically, will be the primary presenter at the individual's tenure and promotion meeting in the department. For faculty being considered for tenure and promotion to associate, all tenured faculty review the candidate's dossier, and then meet to discuss the candidate's qualifications. Although no formal vote is taken, there should be a discussion, after which each member of the tenured faculty must write a letter to the chair expressing a judgment of the merits in the candidate's case. The chair reviews all letters sent, then composes a letter expressing a judgment of the merits in the candidate's case. All faculty letters and the chair's letter are forwarded to the Dean of the College.

For faculty being considered by promotion to full, all faculty at the rank of full review the candidate's dossier, then meet to discuss the candidate's qualifications. Although no formal vote is taken, there is a discussion, after which each member of the tenured faculty must write a letter to the chair expressing a judgment of the merits in the candidate's case. The chair reviews all letters, then composes a letter expressing a judgment of the merits in the candidate's case. All faculty letters and the chair's letters are forwarded to the Dean of the College.

5. Faculty Meetings: At the beginning of the academic year, the department chair establishes dates for faculty meetings. Typically, one meeting is called per month, although meetings are subject to cancellation if the chair determines that there is insufficient business to require a meeting. Rarely, additional meetings may be called by the department chair if a special need arises. All faculty are expected to attend faculty meetings and all faculty are extended voting privileges, should issues requiring a vote arise. Others are welcome to attend (e.g., staff and student representatives), but do not have voting privileges.
6. Establishing and Modifying Departmental Rules and Procedures: In most arenas, the Department of Psychology is a consensus-driven body rather than a rule-governed body. Issues of concern to the faculty are raised in faculty meetings and via email communications. The chair solicits input and discussion on issues. On most issues, consensus is reached or the department chair eventually suggests a position and asks for faculty support. Occasionally, significant differences of opinion remain after discussion. In addition, there are some policy areas in which rules or procedures require a formal vote (e.g., curriculum changes at the graduate or undergraduate level; adoptions or modifications of procedures that have implications for students' progress towards degree completion). In cases where a faculty vote is required, a simple majority of the faculty must endorse the same position in order to adopt or modify a procedure or rule. NOTE that this rule refers to ALL of the faculty, rather than a majority of those present at the meeting. In cases where the department chair's opinion differs from the majority of faculty on a decision, the chair must submit both opinions in writing to the Dean.

7. Hiring Priorities and Hiring Decisions: The hiring priorities of the Department are initially formulated by the department chair in consultation with the Executive Committee in the context of periodic modification of the long-range hiring plan required by the Dean of the College. A draft of the hiring priorities is presented to the faculty and discussed. Faculty input may lead to a modification of the final proposal of hiring priorities.

When hiring of a new position is approved, the department chair appoints an Ad Hoc Search Committee. The committee drafts an advertisement for the position to be approved by the department chair and Dean of the College. When all candidates for the position have been interviewed, feedback is solicited from all faculty and others involved in the interview process. The search committee considers the feedback in formulating its recommendation to the department chair. The department chair has ultimate responsibility for determining which candidate, if any, should be recommended to the Dean of the College for the position.

8. Initial Approval of the Department Policies and Procedures: A majority vote of all voting members of the department is required for the approval of the Department Policies and Procedures.



## **Appendix A**

### **Graduate Student Advisory Committee (GSAC) Guidelines**

#### Organization and Authority

This committee is an extension of the responsibility and authority of the Director of Graduate Studies. The Graduate Student Advisory Committee consists of four faculty members, one from each area. Each faculty member will have one vote. The Chairperson of the Department, in consultation with the Director of Graduate Studies, will select the faculty representatives. The primary responsibilities of this committee are restricted to the academic standing of the students. Problems involving unethical behavior, cheating, drugs, etc., represent problems beyond the scope of this committee, although students may appeal termination decisions arising from such problems to the committee. All decisions of the committee require a simple majority vote of the full committee; impasses will be resolved by the Director of Graduate Studies. The decisions of the committee are binding, subject only to: (1) veto by the Graduate Faculty of the Department (by a simple majority of those voting), or (2) joint veto by the Director of Graduate Studies and the Department Chairperson.

#### Student Evaluations

During the first two years of graduate training, or its equivalent, each student will be evaluated once a year by all faculty members within the student's area of specialization (Clinical, Behavioral and Neural Studies, Cognitive and Developmental Studies, Social). Furthermore, the student should receive written feedback reflecting the major assets and limitations of the students and any other major points relevant to the student's standing in their program. It would also be desirable for each faculty member to meet with his/her students to discuss the student's evaluations.

#### Student Grade Point Average

A student is automatically subject to dismissal from the program if his/her cumulative GPA falls below 3.0 after the equivalent of one year of graduate studies, (18 hours of graduate credit).

#### "C" Grades

A student is subject to dismissal from the program if:

- a. he/she accumulates two "C's" in his academic work within the Psychology Department. In the event that a student earns a grade of "C" in an area outside the Psychology Department (i.e., Med School, etc.) the number of "C's" should be extended to three.
- b. a "C" grade in a course, specifically required by the Department of the student's area of specialization is not cleared the next time the course is offered. A student who receives a

“C” grade in a required course must demonstrate proficiency at the “B” level by taking a bypass exam, retaking the course next semester the course is offered, or through arrangements agreed to jointly by the student and instructor who issued the grade.

### Incomplete Grades

Students will automatically be prevented from registering for additional coursework under the following conditions:

- a. An “I” grade is not completed one semester after it is issued. (Summer counts as a Semester.)
- b. A “C” in a required course is not cleared up the next semester the course is offered.

As soon as any of these requirements are completed satisfactorily the students may continue registering for new work in their training programs.

### Masters Research

In order to complete the steps toward the Ph.D. in a reasonable amount of time, it is important that students complete the masters degree before the start of the students third year. Departmental policy regarding financial support for students is an added reason for speedy completion of the masters degree. Students beyond their fourth year of graduate study are considered very low priority for funding through the department. Any delay past the recommended guideline allows the student less than two years to complete the major hurdles of qualifying exams and dissertation research if the student realistically expects to receive departmental financial support throughout his or her graduate career. (A delay in completion of the masters can be particularly problematic since qualifying exams may not be taken until the masters degree is completed.) Each step toward the masters must be noted in the personal file by the student.

Committee and Topic. By the end of the student’s first year, the student’s personal file should indicate the composition of the masters committee and the topic of the masters research. Otherwise, the student will be sent a letter of reprimand and warning by the chair of GSAC.

Proposal. By the end of the student’s third semester (typically Fall semester, second year), the student’s personal file should show that a proposal has been accepted by the student’s committee. Otherwise, the student and the student’s thesis advisor must meet with the GSAC to discuss the delay, if requested to do so by GSAC.

Orals. By the end of the student’s fifth semester (typically Fall semester, third year), the student’s personal file should show that the student has completed the thesis. If the thesis has not been completed by the start of the student’s sixth semester, the student is subject to not being allowed to register for any coursework (other than master’s credit) or attend or audit any classes until the thesis is completed upon review by GSAC. Students who anticipate completing their thesis by the end of the fifth semester may register in advance, but if the thesis is not completed

then the classes must be dropped and the student cannot attend or audit these classes until the thesis is completed. If the student has still not completed the thesis by the start of the student's fourth year, the student is subject to being dropped from the program upon review by GSAC. "Completion" is defined as obtaining the signature of approval on the thesis by the Chair of the Committee and by the Director of Graduate Studies. The "start" and "end" of a semester are defined in all cases as the first and last day of classes, respectively.

Students entering the program with an uncompleted thesis from another university are subject to these same deadlines (e.g., the student must provide the same information in their personal file and are subject to dismissal from the Psychology Department if they fail to complete their thesis by the start of their fourth year). Each program area has the option, however, of imposing more stringent deadlines in consideration of the progress completed prior to entering the Psychology Department. The program, however, should inform applicants in advance and in writing of their particular thesis requirements.

It is advised that GSAC meet separately with the student and his/her advisor when both have been requested to appear before GSAC. It is also advised that if this advisor is a member of GSAC, that he or she not be involved in the GSAC decisions with respect to this student.

### Appeals Procedures

Students may appeal any decision of the GSAC. Students have the option of having a student representative from their area involved in their appeal. All students receiving official recommendations from the GSAC will be informed of the appeals procedures available to them.

Students appealing committee decisions should initially submit a written appeal outlining relevant arguments and extenuating circumstances involved in their appeal. Students are encouraged to submit appeals any time such information is relevant to committee decisions in their view.

Students may also appeal academic disputes to the Ombudsman.

The GSAC is responsible for keeping records reflecting the number of pro and con votes on all decisions as well as written appeals prepared by students.

### Students' Personal Files

Each student is responsible for maintaining a personal file. This file will be kept in room 116. Each semester, the student should indicate which courses are being taken. At the end of the semester, the student should indicate the grades received in all courses and should compute both a semester grade point average and a cumulative grade point average. Degree progress and outcome of qualifying exams should be noted immediately on the Progress Checklist in the personal file. It is important that the personal file be kept up-to-date since GSAC decisions are based upon the information contained in this file.

### Summary of GSAC Policies

Semester (End)	Deadline	Action if Deadline Missed
2 <sup>nd</sup>	Form thesis committee	Letter of reprimand
3 <sup>rd</sup>	Write thesis proposal	Meet with GSAC
5 <sup>th</sup>	Complete thesis	No registration
6 <sup>th</sup>	Complete thesis	Dismissal
Any semester	Two or more “C’s”	Dismissal
	Cumulative GPA below 3.0	Dismissal
	“I” grade after one semester	No registration
	“C” grade after next semester course is offered in required course	No registration

### Departmental Course Requirements

The Department of Psychology identifies certain categories of requirements for all of its graduate students, categories which have been approved by the faculty as a whole. These categories include: (a) psychological foundations—history and systems of psychology, statistics, and research design; (b) breadth in the discipline of psychology—these vary by program area, but are specified as a departmental requirement of two psychology proseminars outside the graduate student’s area excluding psychological foundations (the breadth requirement for students in the Cognitive and Developmental Studies area may be satisfied by taking two proseminars outside that area or by taking three Cognitive and Developmental Studies proseminars and one proseminar outside that area); and (c) courses which have been identified by program areas as required for students specializing in those programs. Approval and final authority for all three categories of requirements rest with the departmental faculty.

Although the model underlying these kinds of requirements is one of proseminar courses taught at the University of Kentucky, the Department desires to recognize alternative, equivalent procedures for satisfying the requirements outlined above. These alternatives are: (a) credit for prior graduate work; (b) content area examinations; and (c) course bypass examinations.

Credit for Previous Work. An applicant to the Graduate Program of the Department of Psychology or an enrolled graduate student in the Department of Psychology may petition for exemption from proseminars in any of the three categories of requirements, offering as a basis for this exemption work previously done in a recognized graduate program at another institution or in another program at the University of Kentucky. This petition for exemption should be presented to the graduate program in which the student intends to enroll or is enrolled. The graduate program area in consultation with the student should come to a recommendation to be made to the proper Departmental committee for judgment as to whether the course (s) would satisfy the indicated requirements.

The departmental committee with jurisdiction over the decision to recognize previous graduate work as meeting a requirement is the Graduate Student Advisory Committee in the case of students already enrolled in the Department. In the case of students who are accepted by but

not yet enrolled in the Department the decision rests with the Admissions and Award Committee. In all cases a majority of voting members on the committee will determine the result. Appeals will be resolved by the joint decision of the Director of Graduate Studies and Chairperson of the Department. Further appeals may be carried to the Departmental faculty.

If the area in question is one of program specialization, the decision as to whether the student has met a requirement by previous work is entirely in the hands of the program area.

It is the intent of this route for satisfying departmental requirements that the student has studied an area in psychology in some depth while not necessarily covering the specific content of one of our graduate proseminars. While a matter of judgment, proper depth for a subarea will be comparable to or greater than that provided in department proseminars. Thus, a student who has had a general course with a broad but necessarily superficial coverage of a number of areas of psychology likely will not be able to justifiably claim sufficient depth in any subarea to meet breadth or foundations requirements.

In the case of previous course or courses not represented by any proseminar in our graduate program, the appropriate departmental committee will consult with graduate program areas for a reasonable determination as to whether or not the area specified in the petition satisfactorily meets the foundations or breadth requirements in part or whole. For example, a student may wish to submit previous work done in a graduate level proseminar or seminar in anthropological psychology. While the Department of Psychology does not have an equivalent proseminar, it might be argued that such a graduate level experience provides sufficient coverage to meet the intent of the breadth requirements of the Department. The student may petition to satisfy some or all of the breadth requirements by such previous courses.

It is the responsibility of the petitioner to provide the graduate program area adequate material upon which to base the judgment about exemptions. This material would normally include any text used in the course, any syllabus, test materials, papers written by the student for the course, notes taken during the course, papers written by other students forming the basis of course discussion, and the like. It is the responsibility of the petitioner to organize this material and present it to the Director of the graduate program area in which the student is enrolled or to which he or she is applying.

Any student who has been accepted by the Department or who is currently enrolled may apply for exemption from proseminars on the basis of previous work. Under normal circumstances petitions from applicants to the department (not yet accepted) will not be reviewed. Under the exceptional circumstances when such a petition is evaluated, the Chairperson of the Admissions and Awards Committee will notify in writing the student's program area prior to May 1, so that a decision might be made before May 15.

Content area examinations. Content area examinations for subdisciplines of psychology represented on the departmental faculty may be requested by graduate students enrolled in the program as an alternative to the proseminars. To request a content area examination a student should consult with his or her graduate program area, after which a request should be made to the program area responsible for the subdiscipline in question if the exam is to meet a breadth

requirement, or to the Director of Graduate Studies in the case of a foundations requirement. That program area of the Director of Graduate Studies would then designate two or more faculty to be responsible for preparing a content area examination. The petitioner should feel free to consult with those faculty concerning coverage and related matters associated with the examination. The faculty designated will be responsible for the construction, administration, and grading of the exam. They will communicate the results of the examination to the student, to the graduate program area, and to the Director of Graduate Studies.

The exam will be graded by letter grade on the scale of grades presently used in graduate courses. As is the case with other required courses, a student is expected to earn a grade of “B” or better on the examination. Grades of less than a “B” require the student to re-take the examination or satisfy the requirement by an alternative route. Failing to earn a grade of “B” or better on re-taking a content area examination is equivalent to a failure to meet the requirement. A student who fails a content area examination may elect to take the proseminar in that area or take the bypass exam in lieu of repeating the content area examination.

Content area examinations requested by a student will be negotiated as to time of administration and subject matter with faculty responsible for the administration of those exams. In no case should a student anticipate taking such an exam between May 1 and August 15. Furthermore, considerable notice should be given by the student of his or her intent to take an exam if a decision to enroll or not in a given graduate course depends on the consequences of that examination. Normally content area examinations would be expected to be given the week prior to the beginning of each semester, but may be administered at other times when mutually agreeable to the petitioner and faculty persons involved.

It should be carefully noted that intent of the content area examination is not to test over specific coverage of a graduate proseminar. These exams apply rather to a subdiscipline and not to the possibly idiosyncratic character of a single course.

Bypass examinations. University regulations provide any student the opportunity to request a bypass examination in any University course. (The University catalogues refer to these exams as Special Departmental Examinations.) Any student wishing to take a bypass examination in a proseminar course should obtain the appropriate forms from the departmental office. The procedure then entails getting the signature of the instructor of the course and the Chairperson of the Department, arranging a time to take the exam, and having the instructor who administers the exam notify the Registrar of the outcome of the exam along with a grade.

G.S.A.C. Guidelines

	Suggested	Deadline	Action
<u>Year 1</u>			
By end of Fall Semester			
By end of Spring Semester	Thesis Committee	Thesis Committee	Letter of reprimand
<u>Year 2</u>			
By end of Fall Semester	Thesis Proposal	Thesis Proposal	Meet with G.S.A.C.
By end of Spring Semester	Thesis Orals		
<u>Year 3</u>			
By end of Fall Semester	Qualifying exams	Thesis orals	No registration
By end of Spring Semester	Dissertation proposal	Thesis orals	Dismissal
<u>Year 4</u>			
By end of Spring Semester			
By end of Fall Semester	Dissertation orals		
<u>Any Time</u>			
		"I" grade after one semester	No registration
		2 or more "C's"	Dismissal
		C.G.P.A. <3.0	Dismissal

## **Appendix B**

### **SURE and IRB Operating Procedures**

The objective of this document is to describe the procedures for the coordination between the IRB/ORI and the Subject Use and Research Ethics (SURE) Committee on protocols to be conducted through the U.K. Psychology Department.

#### **GENERAL DESCRIPTION:**

Both the Subject Use and Research Ethics (SURE) Committee and the Institutional Review Board (IRB) are committed to ensuring the protection of human subjects involved in research. They have enacted a number of coordination activities in significant areas including: joint committee membership; protocol review; training for SURE Committee/IRB personnel; complaints and alleged noncompliance; quality assurance/improvement findings; and joint policy/procedures.

#### **RESPONSIBILITY:**

Execution of SOP: SURE Committee, SURE Chairperson/IRB Representative or designee, IRB members and ORI staff, ORI Research Compliance Officer (RCO); ORI Director.

#### **PROCEDURES**

##### *Joint Committee Membership*

1. The SURE Chairperson serves as the primary liaison for ensuring coordination between the SURE Committee and the IRB with respect to Nonmedical protocol review and modification requests.
2. The SURE Committee consists of three (3) faculty members, one of whom is also an IRB member. The SURE Chairperson is a member of the IRB and serves as the IRB expedited and exempt reviewer for SURE protocols.
3. The Director of the Office of Research Integrity serves as an ex-officio non-voting Committee member of the Nonmedical IRBs and as primary liaison in the development of joint SURE-IRB policies and procedures.



### *Protocol Review Procedures*

1. The Principal Investigator (PI) makes a preliminary determination that a protocol is eligible for IRB and SURE review. The SURE Committee and the IRB make the final determination regarding whether a protocol is eligible for IRB and SURE reviews.
2. The PI submits a completed Expedited or Exempt Application form to the SURE Chairperson/IRB member.
3. Upon receipt of the application, the SURE Chairperson/IRB member screens the application to make a determination whether the application meets the criteria for SURE and IRB exemption or expedited review. If the application does not meet the criteria for expedited or exempt review, the SURE Chairperson/IRB member advises the PI that s/he could consider resubmitting to the full IRB for review. In addition, the studies are sent to full IRB review if they involve any of the following: deception; research on illegal behaviors; requests to waive informed consent.
4. If the IRB representative has any questions regarding whether a project meets the exempt or expedited criteria, s/he shall contact the ORI staff or the IRB Chairperson for a second opinion.
5. The SURE Chairperson/IRB representative issues a letter describing requested revision and assumes the responsibility for reviewing revision responses submitted by the PI. The SURE Chairperson/IRB member forwards the paperwork to the ORI after the review is completed and the study was approved by the IRB member.
6. Following issuance of a SURE Committee or IRB approval, the application is entered into the ORI computerized tracking system. The IRB ORI staff sets up an application file. If applicable, the tracking system assigns a number to the application. The IRB Chairperson is provided a copy of the review and if s/he has any questions or concerns, s/he may contact the IRB member.
7. After IRB Chairperson review and IRB approval is completed, records of such approval are retained in the ORI using standard operating procedures. Once completed, the exemption or expedited review is listed on the agenda at a full review IRB meeting.

### *Modification Review Procedures*

1. Any changes in research procedures or consent/assent form(s) cannot be initiated by the investigator without prior IRB and SURE Committee review and approval, except where necessary to eliminate apparent immediate hazards to the subject. Examples of modifications that require review include, but are not limited to, changes in: key personnel; advertising materials (flyers, radio spots, etc.); research procedures; subject populations (e.g. age range); location where research will be conducted; consent/assent form; recruitment procedures; date for completion of study.

2. The PI is responsible for submitting a modification request prior to the implementation of any change. To submit the request, the PI completes the Modification Request Form and submits the designated number of copies with required attachments to the SURE/IRB member, who serves as the IRB Chairperson designee. The SURE/IRB member conducts the review in accordance with the Modification Review SOP.
3. If the SURE/IRB member is not available, the modification request is sent to the IRB Chairperson or to a voting member of the IRB through the ORI using standard operating procedures.
4. Also, if the SURE Chairperson/IRB representative recommends full review, then the modification request is placed on an agenda using the Initial Full Review SOP.
5. If the modification is approved, the approval period is not changed and remains the same as that assigned at initial or continuation review.

#### *Continuation Review Procedures*

1. The IRB conducts substantive and meaningful continuing review (CR) at intervals appropriate to the degree of risk, but not less than once per year, in accord with the Continuation Review SOP.
2. If the modification was submitted with a Continuing Review (CR), it is handled following the Continuation Review SOP and SURE Committee/ORI staff process the modification as part of Continuation Review (i.e. amendments). In these cases, please refer to the Continuation Review SOP.

#### *Appeals*

1. If the PI has concerns regarding the IRB decision, s/he may submit his/her concerns to the IRB in a written document that includes justification for changing the committee decision.

#### *Complaints and Alleged Noncompliance*

1. If the SURE/IRB representative receives a complaint from a subject, subject family member, staff, or researcher concerning subject rights and welfare or alleged IRB noncompliance, the SURE Chairperson/IRB member will immediately (i.e. within 2 days) notify the ORI Compliance Officer. Subject complaints about class credit will be handled by the SURE Chairperson.
2. If ORI receives a complaint from a subject, subject family member, staff, or researcher concerning alleged noncompliance or rights and welfare regarding a SURE protocol, the RCO will immediately (i.e. within 2 days) notify the SURE Chairperson. The RCO will initiate an inquiry following ORI/IRB standard operating procedures if complaints involve noncompliance with IRB approved procedures/informed consent process.

3. The IRB has the authority to make final determination on the outcome of review of any complaint regarding rights and welfare or alleged noncompliance.
4. The IRB is also responsible for determining whether the incident meets requirements for reporting to the federal regulatory agencies. In making the determination, IRB will follow the ORI/IRB standard operating procedures for reporting.
5. After the IRB has completed its review of the complaint/alleged noncompliance, the RCO is responsible for providing the SURE Chairperson with a copy of the final deliberations. If the incident is determined to be reportable to a federal regulatory agency, the RCO is responsible for sending a copy of the federal report to the SURE Chairperson. The SURE Chairperson is responsible for disseminating copies of the final outcome and, if applicable, the federal report to the SURE Committee.

#### *Personnel Training Requirements*

1. The SURE Chairperson/IRB representative is responsible for ensuring all study personnel have completed the University of Kentucky's mandatory education requirements before issuing approval.

#### *Joint Policy/Procedures*

1. The ORI Director, when appropriate, is responsible for initiating efforts to establish joint IRB/SURE policy, procedures and submission forms. Suggestions or recommendations for the joint policy/procedure/form initiatives may be submitted to ORI Director by the SURE Chairperson or ORI staff, IRB, or University of Kentucky researchers or administrators.

## Appendix C

### Training and Supervision of Teaching Assistants

The Department of Psychology employs 30 TAs in a variety of courses. The great majority of TAs have primary responsibility for lab sections (i.e., classified as “Type 2”). Thus, although the content of the labs varies widely, there are probably many similarities across the labs in the teaching situations faced by the TAs. Although course instructors will continue to need to meet regularly with their TA(s) to coordinate lecture and lab instruction and monitor progress in the lab, there are common issues to be faced by most of the TAs in the Department. These considerations lead to the following proposal.

- A TA Coordinator position will train and supervise TAs of lower-division courses. The position will be credited with 1 course per year.
- All new TAs will participate in the University’s TA Orientation in August, as required.
- All new and returning TAs will participate in a departmental TA orientation at the start of the Fall and Spring semester. The TA Coordinator will organize the departmental orientations, with the option of distinguishing multiple sections for different courses (e.g., 1 for PSY 100; 1 for PSY 215 & 216; 1 for all lecture/lab courses). A likely format for the departmental orientations is to have experienced TAs do a “best practices” presentation.
- All TAs will meet with the course instructor on a bimonthly basis to discuss issues associated with their labs.
- All graduate students who have primary responsibility for teaching a course (Type 1) will be assigned a faculty mentor. The student and faculty mentor will meet on a bimonthly basis to discuss issues associated with the course.
- Each TA (except those classified as Type 4) will have (at least) one class observed in a semester and the observer will submit a TA Observation Form to be kept in the student’s departmental file and will be filed with the Graduate School.
- Each TA will collect standardized student ratings of performance at the end of each semester. The TCE report will be kept in the student’s departmental file and will be filed with the Graduate School.
- The TA Coordinator will complete a single page, end of semester assessment of the performance of each TA. (It is probably a good idea to generate a standardized form for this purpose.)
- The TA Coordinator will inform TAs of opportunities for additional teacher training (e.g., workshops at Teaching and Academic Support Services; teaching-related colloquia and brown bags). Occasionally, TAs may be required to participate in such activities. Whether required or voluntary, participation will be recorded and kept in the student’s file.
- During the summer, TAs who teach labs will be mentored by the faculty instructor. The faculty member will meet before the start of the course and each week during the course to discuss issues arising from teaching the lab. In addition, the faculty member will observe one lab and file the TA observation form. The faculty member will also write the end of semester assessment. In the case of a graduate student with sole responsibility for teaching a course, a faculty mentor will be assigned, as during the regular academic year.

The time requirements of the TA Coordinator are roughly as follows:

**Table 1. Analysis of Fall Semester Workload of TA Coordinator**

<b>Activity</b>	<b>Contact Hours Required per Semester</b>
Organize departmental orientation	10 hours
Classroom observations	20 TAs x 2 hrs/TA = 40 hours
Prepare end of semester assessments	20 TAs x 1 hr/TA = 20 hours
Weekly meetings with TAs	12 meetings @ 1.5 hours/meet = 18 hours
<b>TOTAL</b>	<b>78 hours</b>

## Appendix D

### Expectations for Tenure and Promotion of Faculty

#### REGULAR TITLE SERIES FACULTY

Faculty in the Regular Title Series are expected to be effective teachers and mentors, innovative and productive researchers, and committed through their service to the betterment of the academic, professional and public communities. Evaluation for tenure and promotion will be based on assessment of the extent to which the faculty member meets expectations in these three domains.

#### Tenure and Promotion to Associate Professor

Research: Faculty are expected to establish a program of research with clear short-term and long-term goals. The research program should result in independent, sustained empirical research of high quality. With respect to evaluation of research, there are several potential sources of evidence of research excellence. The profile of indicators is not expected to be identical across candidates; candidates are expected to include whatever information is available and relevant to their evaluation.

Research excellence may be demonstrated by a variety of means, including some combination of the considerations listed below.

- Several first authored, empirical articles in top-tier journals
- Record of sustained research productivity
- Letters of strong support from prominent researchers in the candidate's field
- Extramural funding proposals that receive competitive priority scores
- Any indicators of impact on the field, including: citation indices, invited presentations or chapters, recognition of accomplishments in publications (e.g., cited in an article as one of top new researchers in the field)
- Awards for research excellence
- Participation in research review process, including: grant review panels, regular involvement in manuscript review for top-tier journals (e.g., editor, associate editor, editorial board).
- Successful mentoring of students with respect to student research accomplishments, such as student authorships, competitive fellowship awards, and other research awards.

Teaching: The successful candidate for promotion to Associate Professor with tenure will demonstrate a consistent record of effective and committed teaching and mentoring of both undergraduate and graduate students. With respect to evaluation of teaching and mentoring, there are several potential sources of evidence of teaching and mentoring excellence. The profile of indicators is not expected to be identical across candidates; candidates are expected to include whatever information is available and relevant to their evaluation.

Effective and committed teaching of undergraduate students may be assessed by a variety of means, including some combination of the sources of information listed below.

- Quantitative ratings by students of course quality and teaching effectiveness
- Letters from students
- Letters from teaching assistants
- Letters from peers who have observed the candidate's teaching and/or the impact of the candidate's teaching on student performance
- Awards for teaching accomplishments
- Participation in opportunities to improve teaching (e.g., workshops, conferences on teaching)
- Scholarship on teaching (e.g., articles, chapters or books related to teaching)

Effective and committed mentoring of undergraduate students may be assessed by a variety of means, including:

- Letters from students
- Sponsorship of students in independent research projects (e.g., PSY 395 & 495) and experiential education (e.g., PSY 399 & 499)
- Accomplishments of mentored students, such as research products (e.g., student authorships, student participation in conferences)
- Awards to mentored students

Effective and committed teaching of graduate students may be assessed by a variety of means, including:

- Quantitative ratings by students of course quality
- Letters from students
- Letters from peers who have observed the candidate's teaching and/or the impact of the candidate's teaching on student performance
- Awards for teaching accomplishments

Effective and committed mentoring of graduate students may be assessed by a variety of means, including:

- Letters from students
- Successful and timely progress of students in the program (i.e., Master's degree, completion of qualifying exams, Doctoral degree)

- Accomplishments of mentored students, such as research products (e.g., student authorships, student participation in conferences)
- Awards, fellowships and grants to mentored students

Service: Faculty should contribute as citizens of the Department, College, University, profession and community. There are many ways to make service contributions, including:

- Regular attendance at faculty meetings
- Conscientious service on assigned departmental committees
- Participation in regional and national professional organizations
- Participation in community organizations related to professional expertise
- Participation college and university committees

Although junior faculty have occasionally been asked to serve in departmental administrative roles (e.g., DGS or DCT), they are advised that they should not agree to such service unless it does not interfere substantially with their research mission. Similarly, junior faculty may occasionally have opportunities to serve the public or professional community, but they should undertake such responsibilities only if they do not interfere substantially with their research mission.

### **Promotion to Professor**

There are important distinctions to be made in comparing the process of evaluating a faculty member for promotion to the rank of professor vs. evaluating a faculty member for promotion to associate professor. The list of indicators of the research, teaching and service missions is substantially the same; however, the weighting of indicators changes in important ways.

Research: In general, the successful candidate for promotion to professor will be recognized nationally or internationally for his or her research program. Letters from respected scholars in the field are important sources of information about a candidate's research prominence. In addition, it is expected that there will be other indicators of the candidate's maturity as a researcher. Common indicators include: service on grant review panels; editorial service to top-tier journals; book editing; awards for research accomplishments; indicators of impact on the field (e.g., citation indices, explicit reference to prominence by other researchers); extramural funding; invitations to speak at conferences and other research institutions. Evidence of continued productivity as a researcher is necessary, but not sufficient for promotion to professor. Rather, the candidate's research accomplishments must achieve national or international recognition.

Teaching: In general, the successful candidate for promotion to professor will continue to be an effective and dedicated classroom instructor. In addition, the candidate will demonstrate effectiveness as a mentor of graduate students beyond what can be expected of a junior faculty member. A mature faculty member is expected to consistently attract graduate students and successfully shepherd them through the doctoral program. In addition, the research, teaching, and career accomplishments of students is important evidence of the mentor's effectiveness. Common indicators of student accomplishments include: research productivity; grants and



fellowships; awards for teaching, research or service accomplishments; placement of the student upon completion of degree.

Service: Relative to a more junior faculty member, the successful candidate for promotion to professor will generally contribute more to the service mission, and the contributions will typically extend further beyond the Department. Thus, more experienced faculty members are more likely to participate in College and University committees, and more likely to take a leadership role. Within the Department, experienced faculty are expected to take leadership roles on committees.

## SPECIAL TITLE SERIES FACULTY

It must be acknowledged at the outset that the expectations of faculty in the Special Title Series have not been standardized to the degree that characterizes expectations of faculty in the Regular Title Series. In part, this is probably because the STS has a much briefer history than the RTS. Also, the motivations for hiring faculty in the STS are potentially more diverse than is the case for hiring in the RTS. Because of these considerations, the Department must allow for the possibility that potential future hires of STS faculty may be accompanied by a different set of expectations than will be set down in this document. With that important caveat, however, it is possible to state a clear set of current expectations of Special Title Series Faculty based on the history of the Department to date.

### **Tenure and Promotion to Associate Professor**

Faculty in the Special Title Series in Psychology are expected to contribute in substantial ways to undergraduate education. Typically, the faculty teach a variety of undergraduate courses (i.e., lower- and upper-division) and are often involved in various ways with undergraduate advising through courses (i.e., PSY 195, 399 and 499), committee assignments (e.g., curriculum committee), and service (e.g., Director of Undergraduate Students, coordinator of Psi Chi). The successful candidate for tenure and promotion in the Special Title Series will demonstrate a consistent record of effective and committed teaching and service to undergraduates in the Department. With respect to evaluation, there are several potential sources of excellence in teaching and serving undergraduates. The profile of indicators is not expected to be identical across candidates; candidates are expected to include whatever information is available and relevant to their evaluation. The list of relevant indicators includes:

- Quantitative ratings by students of course quality and teaching effectiveness
- Demonstrated teaching competence in a variety of course preparations
- Letters from students
- Letters from teaching assistants
- Letters from peers who have observed the candidate's teaching and/or the impact of the candidate's teaching on student performance
- Awards for teaching accomplishments
- Participation in opportunities to improve teaching (e.g., workshops, conferences on teaching)
- Scholarship on teaching (e.g., articles, chapters or books related to teaching)

- Authorship of a textbook
- Development of novel method of instructional delivery (e.g., on-line or distance-learning)
- Sponsorship of students in independent research projects (e.g., PSY 395 & 495) and experiential education (e.g., PSY 399 & 499)
- Accomplishments of mentored students, such as research products (e.g., student authorships, student participation in conferences)
- Awards to mentored students
- Competence in service positions, such as DUS or Psi Chi Coordinator

### **Promotion to Professor**

The successful candidate for promotion to professor in the Special Title Series must achieve recognition for contributions to undergraduate education. This involves more than demonstrated excellence in course instruction and advising. It involves leadership in undergraduate education that has a documented, positive impact on undergraduate education. There is no single route to this goal and, thus, no single profile of indicators that the goal has been achieved. One possible model would be to achieve national or international recognition for teaching expertise via publication of scholarly books and articles on undergraduate education. The indicators of success via this route would be analogous to those specified for evaluating research success in the Regular Title Series. Another possible model would be to establish a record of successful innovative, programmatic reforms at either the campus or departmental level, where such reforms have a demonstrable, positive influence on the undergraduate education of Psychology majors, specifically, or UK students, more generally.

### **LECTURER SERIES**

Appointment as Lecturer: It is expected that a successful candidate for a lecturer position will have a doctoral degree in a field of study appropriate to the discipline of the teaching assignment and demonstrated good teaching experience.

Promotion to Senior Lecturer: The successful candidate for promotion to Senior Lecturer will have accumulated five years of continuous service as a full-time lecturer within the department or equivalent teaching experience, and will have demonstrated excellence in teaching, together with consistent, sustained contributions to the department, and continued engagement with the discipline or its pedagogy. With respect to evaluation of the above criteria, there are several potential sources of evidence. The profile of indicators is not expected to be identical across candidates.

Excellence in teaching may be assessed by a variety of means, including some combination of the sources of information listed below.

- Quantitative ratings by students of course quality and teaching effectiveness
- Letters from students
- Letters from teaching assistants
- Letters from peers who have observed the candidate's teaching and/or the impact of the candidate's teaching on student performance

- Awards for teaching accomplishments
- Participation in opportunities to improve teaching (e.g. workshops, conferences on teaching)
- Scholarship on teaching

It is expected that a candidate for senior lecturer will have contributed substantially to the mission of the department. There are many ways to make sustained contributions, including:

- Regular attendance at faculty meetings
- Conscientious service on assigned departmental committees
- Sponsorship of students in independent research projects (PSY 395 & 495) and/or experiential education (PSY 399 & 499)
- Supervision of undergraduate or graduate students in applied or research areas.

Continued engagement with the field may be assessed by a variety of means, including:

- Active participation in conferences, workshops, professional organizations, and other public venues pertinent to the discipline or its pedagogy
- Published papers or presented research at conferences
- Application of research to applied problems in professional activities or practice

## Appendix E

### Wethington Awards for 2007-2008 in the Department of Psychology

The Department of Psychology proposes three distinct mechanisms for rewarding productive faculty under the auspices of the Wethington Awards program. Up to 5 individuals will receive awards of up to \$5,000 for outstanding research accomplishments during the academic year ("Outstanding Faculty Awards" component). In addition, faculty members may buyout courses above the mandated 17% and get back some of the buyout money in the form of a bonus in May. Finally, any number of faculty may receive smaller awards for specific, targeted accomplishments ("Targeted Achievement Awards" component). The criteria for each of these categories of awards are explained below. Recipients will be chosen by the Chairperson, in consultation with the Departmental Executive Committee.

#### **Outstanding Faculty Awards**

Multiple individual faculty may be awarded between \$3,000 and \$5,000 for outstanding accomplishments during the academic year. A variety of indicators of research productivity will be considered in determining the recipients of these awards. The criteria include:

- Extramural grant(s), including training grants
- Publication of a theoretical article in a very high profile journal (i.e., *Psychological Review* or *Psychological Bulletin*)\*
- Number of journal articles published
- Scholarly awards (e.g., Fulbright Fellowship, Award from a prominent scholarly organization)
- Author a book
- Notable achievements by a faculty member's graduate students
- Number of course buyouts by the faculty member
- Officer in a prominent scholarly society
- Editor or associate editor of a prominent scholarly journal
- Editor of a book

#### **Return of Percentage of Buyout**

If a faculty member buys out of a course or courses, he or she may buyout at up to 25% and receive back the difference between the mandatory buyout rate of 17% and the actual buyout (i.e., up to 8% of salary). Please be certain that your actual buyout rate does not exceed the maximum allowed by the granting agency.

## **Targeted Achievement Awards**

For the purpose of promoting specific goals desired by the Department, awards will be made in specific dollar amounts for certain targeted achievements. Those targets and the associated rewards (subject to availability of funds) are:

- Publication in *Psychological Review* or *Psychological Bulletin*\* = \$1,000
- Hire a new postdoctoral scholar = \$2,000
- Submit a major training grant = \$3,000

\*Must be a major review or theoretical article.

**Funding:** Up to 30% of the monies generated by course buyouts will be set aside to fund the awards.