

**COLLEGE OF MEDICINE**  
**RULES OF PROCEDURE AND STRUCTURES OF COMMITTEE**

Approved by  
Dean, College of Medicine

**January 25, 2010**



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January 25, 2010

TO: Kumble Subbaswamy, Ph.D.  
Provost

FROM: Jay Perman, M.D.   
Dean, College of Medicine  
Vice President of Clinical Affairs

RE: College of Medicine Rules and Procedures

The enclosed, College of Medicine Rules and Procedures and the respective departmental rules, have my approval.

**UNIVERSITY OF KENTUCKY**

**ALBERT B. CHANDLER MEDICAL CENTER**

**COLLEGE OF MEDICINE**

**COLLEGE OF MEDICINE  
RULES AND PROCEDURE AND STRUCTURES OF  
COMMITTEES**

**2009**

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November 3, 2010

## **Rules of Procedure and Structures of Committees**

The College of Medicine as an academic unit of the University adheres to all guidelines and procedures established in the Administrative and Governing Regulations of the University. In accordance with that, the information contained in this booklet includes Administrative Committees, the Rules of the Faculty and individual department rules of procedure.

The College has committees established to assist in administrative and mission related activities. They are the section labeled administrative committees, which also includes the Rules of the Faculty. Rules of the Faculty include Article I, which defines organizational and reporting structures. Article II contains the general guidelines. As a part of Article II, additional guidelines are included for the Curriculum Committee and the Student Progress and Promotions Committee. Article III contains the purpose and responsibilities of the Chairman's Council. Article IV is the Student Advisory Council and Article V is ratification and amendments procedures. Following the Rules of the Faculty are all other College administrative committees.

The last section includes all department rules of procedure. There are 24 departments that make up the College of Medicine so that this section is divided into 16 clinical and 8 basic science departments.

# UNIVERSITY OF KENTUCKY COLLEGE OF MEDICINE

**DEAN  
and  
VICE PRESIDENT FOR  
CLINICAL AFFAIRS**  
*Jay A. Perman, M.D.*

## Multidisciplinary Centers

- Center on Drug & Alcohol Research
- General Clinical Research Center
- Center for Rural Health
- Linda and Jack Gill Heart Institute
- Markey Cancer Center
- Minimally Invasive Surgery Center
- Sanders-Brown Center on Aging
- Spinal Cord and Brain Injury Center
- Structural Biology
- Sensor Technology
- Cardiovascular Research Center
- Center on Women's Health

## Clinical Departments

- Anesthesiology
- Emergency Medicine
- Family and Community Medicine
- Internal Medicine
- Neurology
- Neurosurgery
- Obstetrics and Gynecology
- Ophthalmology
- Orthopaedic Surgery
- Pathology and Laboratory Medicine
- Pediatrics
- Psychiatry
- Physical Medicine and Rehabilitation
- Radiology
- Radiation Medicine
- Surgery

## Basic Science Departments

- Anatomy and Neurobiology
- Behavioral Science
- Graduate Center for Nutritional Sciences
- Molecular and Cellular Biochemistry
- Microbiology, Immunology, and Molecular Genetics
- Molecular and Biomedical Pharmacology
- Physiology
- Toxicology

**Senior Associate Dean  
for  
Basic Science Affairs**  
*Louis B. Hersh, Ph.D.*

**Senior Associate Dean  
for  
Clinical Affairs**

**Senior Associate Dean  
for  
Medical Education**  
*C. Darrell Jennings, M.D.*

**Senior Associate Dean  
for  
Research**  
*Alan Daugherty, Ph.D.*

**Associate Dean  
for  
Administration and  
Finance**  
*Peter Gilbert*

**Associate Dean  
for  
AHEC and Community  
Outreach**  
*James Norton, Ph.D.*

**Associate Dean  
for  
Admissions and  
Institutional  
Advancement**  
*Carol Elam, Ph.D.*

**Associate Dean  
for  
Veterans Affairs**

# **RULES OF THE FACULTY OF THE COLLEGE OF MEDICINE**

## **ARTICLE I**

### **PREAMBLE**

The College of Medicine is an educational unit of the University. It is constituted by faculty, students and administrative officers with a common interest – to carry out a three-fold mission:

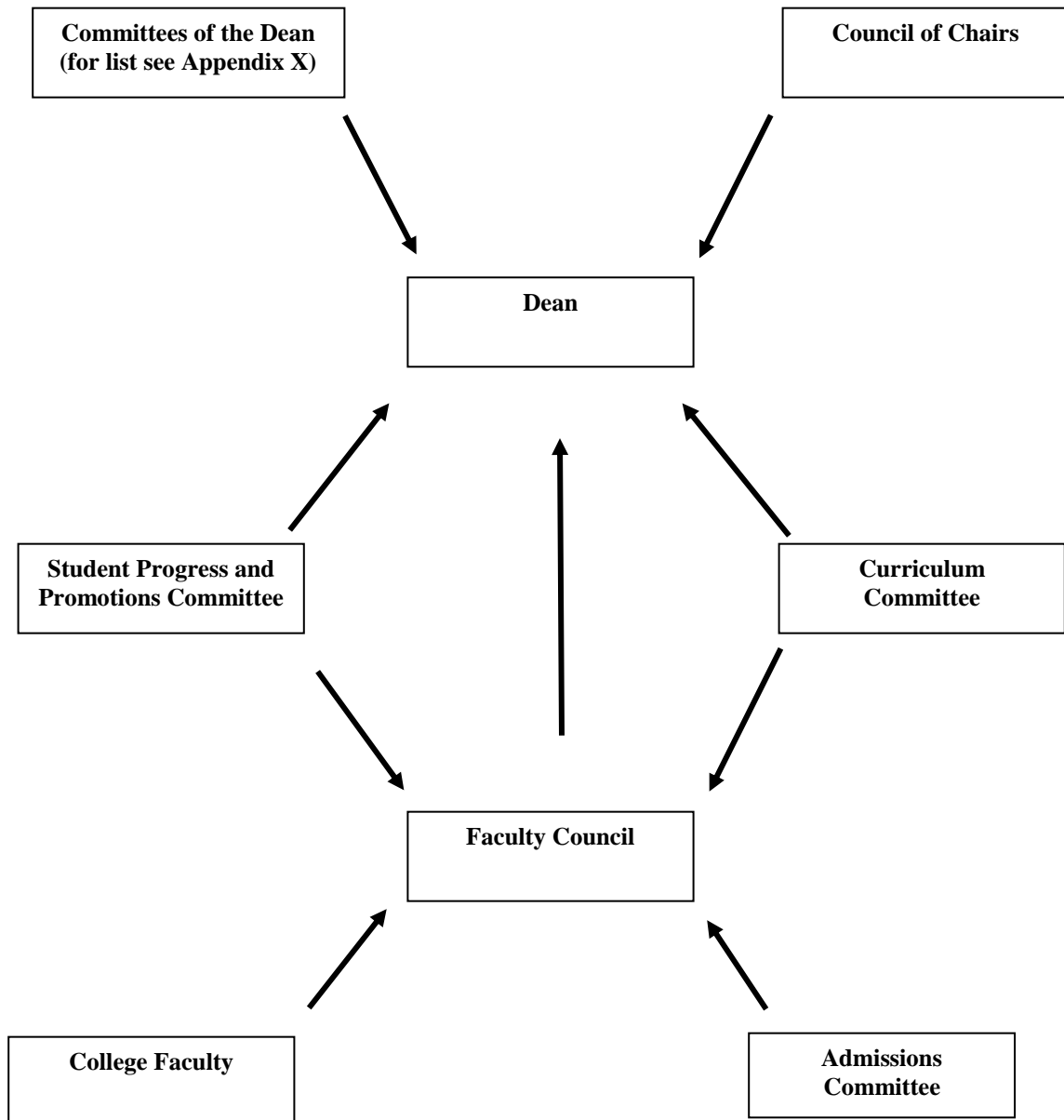
- 1) To provide instruction for:
  - a) predoctoral and postdoctoral students of medicine and the medical sciences;
  - b) students of the health professions and other University students whose curricula include courses taught by College of Medicine faculty.
- 2) To conduct research in the medical and biological sciences and engage in other creative activities in health related areas.
- 3) To provide for the clinical care of patients and furnish the service central to the role of the physician – the prevention, diagnosis and treatment of disease.

In order to accomplish these goals, the College of Medicine recognizes its responsibility to establish its own rules and Council/Committee structure that are necessary for the performance of its mission. The following operational guidelines reflect the College's establishment of policies which provide flexibility within the framework of the Governing Regulations, the Administrative Regulations, the Senate Rules, and the Rules of the Graduate Faculty, and which are still compatible with the unique functions and operations of the College of Medicine.

REVISED: November 10, 2009

## THE COLLEGE OF MEDICINE

- 1.0 The organizational bodies of the College are the faculty, the Department Faculties, the Faculty Council, the Committees of the Faculty, the Dean and his/her Office, the Council of Chairs, the Committees of the Dean and the Student Advisory Council. An outline of the interaction scheme is shown below:



## ARTICLE II

### THE COLLEGE FACULTY

#### 1.0 Purpose

- 1.1 The aims and objectives of the Faculty shall be to achieve and maintain excellence in all aspects of medical education, research, service and delivery of health care.

#### 2.0 Functions

The Faculty:

- 2.1 shall assemble at regularly scheduled times to be informed, to discuss and to take action upon matters of concern to faculty members;
- 2.2 shall make recommendations to the University Senate on such matters as require the final approval of that body;
- 2.3 shall determine, within the limits established by the Governing Regulations and University Senate Rules, the educational policies and standards for degrees of the College of Medicine and shall make recommendations on the academic priorities of the College. The informed Faculty will vote on those issues identified by the Faculty Council (see ARTICLE II 3.23 and 3.24).

#### 3.0 Composition, Organizational Structure and Assembly

##### 3.1 Membership:

The Faculty of the College of Medicine shall consist of the Dean, all Assistant and Associate Deans and all personnel having the rank of Instructor, Assistant Professor, Associate Professor, or Professor. The Faculty shall be composed of a voting Faculty and a non-voting Faculty.

- 3.11 The voting Faculty shall consist of the following: the Dean, Associate and Assistant Deans, full-time Professors, Associate Professors, Assistant Professors, and those Instructors who are not enrolled as students in the Medical or Graduate School.
- 3.12 Faculty listed in ARTICLE II 3.11, who hold joint appointments where one of the departments is outside the College of Medicine, must have their primary appointment in the College of Medicine in order to have voting privileges.
- 3.13 The non-voting Faculty shall consist of joint appointment members excluded by the limitation of ARTICLE II 3.12, less-than-full-time

appointees, voluntary faculty, research fellows and employees in the Visiting Title Series. These persons are encouraged to attend Faculty meetings where they shall have the right of the floor but shall not have voting privileges.

### 3.2 Meetings:

#### 3.21 Regular Meetings:

The Faculty shall meet at least three times each year. These and special meetings generally shall be open to students and visitors. The Faculty, however, may vote itself into executive session.

- a. The meeting shall be conducted by the Dean or his/her designate. Traditionally, the Chair of the Faculty Council serves in this role.
- b. In order to promote free and open expression of views and new business, no formal motions or amendments will be recognized until after matters under consideration have been fully discussed. An orderly discussion of the issues will be insured by having reasonable time allocation for each agenda item rather than by the constriction of formal parliamentary procedures. Procedures used when formal motions and amendments are reached shall be those of Robert's Rules of Order.

#### 3.22 Special Meetings:

- a. The Faculty may be called into special session by the Faculty Council, the Dean, the Executive VP for Health Affairs, the Provost or the President of the University.
- b. Special meetings may also be called at the request of ten percent of the voting Faculty. These requests shall be submitted in writing to the Faculty Council.

3.23 Minutes of each Faculty meeting shall be made available to the faculty in either written and/or electronic form. A file of minutes will be maintained by the Office of the Dean, on behalf of the Faculty Council.

#### 3.24 Agenda:

- a. The Faculty Council shall develop the items of the agenda. If in the judgment of the Faculty Council, the establishment of a new academic policy or a policy change is of such consequence that the appraisal by the entire faculty is required, the issue shall be presented in the form of an agenda item to the assembled members.

- b. The Chair of the Faculty Council, in consultation with the Dean, will formalize the agenda for the Faculty meetings. One week prior to a regular meeting, the agenda and written descriptions of agenda items requiring faculty vote shall be distributed to all members of the Faculty in either written and/or electronic form.

### 3.25 Voting:

All voting will be conducted by either a paper or electronic ballot. This format accommodates the size of the Faculty of the College of Medicine as well as facilitates voting by faculty who are unable to attend the general Faculty meetings. Confidentiality will be maintained with both paper and electronic balloting. Approval of policy matters will require two-thirds vote of the faculty voting.

All issues to be considered for a vote by the faculty must be presented at a College of Medicine General Faculty meeting. The faculty should be notified at least 7 days before the scheduled meeting of any issues to be discussed that relate to a subsequent vote. Voting will not occur less than 10 days after the Faculty meeting in which the issue to be voted on was discussed.

## 3.3 The Faculty Council:

### 3.31 Function:

- a. The Faculty Council shall be a body of elected delegates that will provide the means by which the Faculty can expeditiously discharge its responsibility to deal with and initiate educational and academic policy matters which transcend departmental responsibilities. Councilors will be the Faculty's voice and liaison with the Dean's Office and the Chair's Council.
- b. The Faculty Council will serve as an avenue by which faculty members can register opinions, views and problems and will provide a channel of communication to the Dean and Chair's Council.
- c. The involvement of the Faculty Council members shall be recognized by the Faculty and Administration as an important, time-consuming activity and, therefore, during their term of office they would be appointed to Dean's Committees or other University committees only under special circumstances.

### 3.32 Membership:

- a. The Faculty Council shall consist of twelve elected members: seven from the Clinical Departments and five from the Basic Science Departments.



For election purposes, the sixteen departments identified as Clinical are: Anesthesiology, Radiology, Emergency Medicine, Family and Community Medicine, Internal Medicine, Neurology, Neurosurgery, Obstetrics and Gynecology, Orthopedics, Ophthalmology and Visual Sciences, Pathology and Laboratory Medicine, Pediatrics, Psychiatry, Radiation Medicine, Physical Medicine and Rehabilitation, and Surgery. The eight departments identified as Basic Science are: Anatomy and Neurobiology, Behavioral Science, Molecular and Cellular Biochemistry, Microbiology, Immunology and Molecular Genetics, Molecular and Biomedical Pharmacology, Physiology, the Graduate Center for Toxicology and the Graduate Center for Nutritional Sciences.

- b. No two members shall be from the same Department.
- c. Members of the Dean's Office and the Chair's Council are not eligible for membership in the Faculty Council.
- d. The term of office shall be three years, and no one may serve consecutive terms.
- e. Every effort shall be made to stagger the term of office for each representative such that no more than 3 clinical department representatives and 2 basic science department representatives are elected annually.
- f. The outgoing Chair will remain a member of the Council in an ex-officio, non-voting capacity to serve as counsel.

### 3.33 Election:

- a. Elections will be held annually and at a time such that new members are identified by July 1. Newly elected members will assume office on September 1; this will assure continuity throughout the summer months and would provide the opportunity for newly elected members to participate as ex-officio, non-voting, members throughout the summer.
- b. Elections will be conducted in a manner to maintain the representation between Basic Science and Clinical members designated in Section 3.32 a.
- c. Balloting: A list of eligible candidates for the Faculty Council from departments not otherwise represented will be presented to the faculty in April of each year. The names of seven members of the clinical faculty and four members of the basic science faculty who receive the largest number of votes on the first ballot and who indicate their willingness to serve if elected, will be submitted to the faculty on a second ballot. Vacancies in the basic science and clinical divisions will be filled by those individuals receiving the largest number of votes on the second ballot.

- d. In the event that a vacancy (longer than 3 months) occurs on the Faculty Council, the remainder of the term will be filled by the faculty member who received the next largest number of votes in the previous election behind those who were elected. The vacancy will be filled such that the ratio of Clinical to Basic Science representation remains constant.

### 3.34 Officers:

- a. The Faculty Council will select a Chair-Elect by a secret ballot at a meeting in early October of the preceding year who will succeed the Chair on September 1.
- b. When the Chair is a member of a Clinical Department, the Chair-Elect shall be from a Basic Science Department and vice versa.

### 3.35 Responsibilities of the Faculty Council:

- a. Develop and recommend educational policy affecting the instruction, research/creative productivity, and service responsibilities of the Faculty. The Faculty Council may utilize the standing committees of the Faculty, subcommittees of the Faculty Council, or ad hoc committee that it appoints, in developing its determinations and recommendations about these academic matters. Any changes or new policy approved by the Faculty Council which is judged by the Faculty Council to require approval of the Faculty shall be included on the agenda of the next scheduled regular Faculty meeting. If approved by the Faculty, the Faculty Council shall apprise the Dean. Faculty Council decisions about academic policy matters which, in the opinion of the Faculty Council, do not require Faculty approval shall be recommended directly to the Dean for implementation.
- b. Study, and when necessary, recommend changes in current practices to the Faculty on all issues dealing with educational and other academic matters, including but not limited to:
  - 1. the curriculum and other educational policies;
  - 2. student admissions criteria and procedures;
  - 3. size of study body;
  - 4. procedures for evaluation and academic promotion of students;
  - 5. standards and criteria required for purposes of awarding degrees (e.g., M.D., and M.D. degree as part of combined degree programs).

6. the quality of the educational programs;

When recommendations about these issues have been submitted to the Faculty Council by Committees of the Faculty, the Faculty Council will study these recommendations and assess their strengths and weaknesses. Except where provided otherwise below, if the Council approves on its academic merits, the recommendation as submitted, the Council will notify the Dean and request that changes be administratively implemented. When a recommendation is not approved, the Faculty Council will notify the Committee and provide an explanation for its action. This notification may include suggestions for strengthening the Committee recommendations.

- c. To review and advise the Dean about policies on Faculty appointments, termination of appointments, promotion, tenure and merit evaluations in conformance with University regulations and individual Departmental policies and regulations (not to involve specific cases).
- d. Serve in a consultative capacity to the Dean.
- e. Serve as a Committee on Rules of the College of Medicine:
  - 1. Recommend changes in the Rules of the Faculty according to the procedure described in ARTICLE V 2.0.
  - 2. Make editorial changes in the Rules when necessary for clarification.
  - 3. Codify Rule changes that are approved by the Faculty.
- f. Function as a Committee on Committees:
  - 1. Advise the Dean about the Committee structure of the College. There are Committees of the Faculty (Curriculum Committee, Admissions Committee, and Student Progress and Promotions Committee) and Committees of the Dean (Council of Chairs, Student Advisory Council, Committee on Medical Liaison and Continuing Education, Committee on Faculty Appointments, Appeals, Promotions and Tenure, Research and Graduate Education Committee, Financial Aid Committee, International Committee, College of Medicine Clinical Performance (CPX) Committee and a Postdoctoral Advisory Committee).
  - 2. Review the charges and operations of standing Committees of the Faculty (see ARTICLE II .3.4).
  - 3. In order to facilitate information exchange and to help the Faculty Council remain abreast of current faculty activities and attitudes, the

membership of each Committee of the Faculty shall include one Faculty Council member who will be ex-officio, and without vote. If a Faculty Council member also serves on a Committee of the Faculty, they may be designated as the Faculty Council representative to that committee.

4. Receive the written and/or electronic minutes of the Committees of the Faculty and reports of committee activities through the Faculty Council representative to these committees. All committee reports and minutes shall be available to any faculty member who wishes to examine them. In his/her responsibility to construct the agenda for the Faculty meetings, the Council Chair may arrange for the Chair of each standing committee of the Faculty to present a brief oral report directly to the Faculty.
5. Nominate the membership of Committees of the Faculty, and of the Appointment, Appeal, Promotion and Tenure Committee. Each year the Faculty Council will nominate, and with the concurrence of the Faculty Council the Dean will appoint, committee members representing the clinical faculty, the basic science faculty, post-graduate trainees and the medical student body as appropriate. The appointment to the various committees will occur after having determined the individual's willingness to serve on the committees.
6. Nominate the membership of Committees of the Dean. Each year the Faculty Council may be requested by the Dean to nominate, and the Dean will appoint, committee members representing the clinical faculty, the basic science faculty and the medical student body as appropriate. The appointment to the various committees will occur after having determined the faculty member's willingness to serve on the committees.

### 3.36 Meetings:

- a. The Faculty Council determines how frequently to assemble, but in order to discharge its responsibility it will meet at least monthly on the call of the Chair or upon request of a majority of the members of the Council.
  1. At these sessions the members will share information, clarify data collected from faculty, students, the administration, and the respective committees of which they are members. They will consider the position the Council wishes to take as a group.
  2. Six of the voting members of the Council will constitute a quorum. A member of the Council cannot send a substitute to the meeting.

3. Minutes of each meeting shall be recorded and distributed to the Faculty Council membership. Copies of approved minutes shall be filed in the Dean's office and or on the Faculty Council web-page for future reference and may be examined by any member of the Faculty.
  4. The Chair, or a majority of the members of the Council, shall have the authority to invite any individual to a meeting.
- b. The Faculty Council shall also meet separately with the Dean.
  - c. The Faculty Council shall meet with the Student Advisory Council at the request of either the Dean, Faculty Council or the Student Advisory Council.
  - d. It is incumbent on the Faculty Council to keep the faculty fully informed of its deliberations and activities.
1. The Chair of the Faculty Council shall periodically prepare a summary of the activity and deliberations of the Council for communication with the General Faculty.

#### 3.4 Committees of the Faculty:

The College will be served by committees, which are established to expedite the work of the Faculty. The Faculty Council members who serve in an ex-officio, non-voting capacity, or who are regular committee members and the designated Faculty Council representative, are the liaisons between the standing committees and the Faculty Council as the integrating body. In this spirit, each Committee is encouraged to exchange ideas with the Faculty Council as the issues dealing with their respective charges are being considered.

The Standing Committees of the Faculty are: the Curriculum Committee, the Student Progress and Promotions Committee and the Admissions Committee.

##### 3.41 The Curriculum Committee:

- a. Charge: The Curriculum Committee advises the Faculty Council on broad instructional policy issues and makes recommendations on the curricula of the college. This committee shall:
  1. Review and evaluate the global objectives of all medical educational programs of the College;
  2. Determine whether educational goals of the College are being met and recommend means by which deficiencies should be corrected;

3. Consider whether resources to achieve the educational mission and objectives of the College are adequate and make recommendations for corrective measures;
4. As needed, recommend changes in the criteria to be used for student admissions;
5. Recommend significant changes in schedules and content of the curriculum, recommend incorporation of innovative teaching methods and improve either vertical or horizontal integration of the curriculum;
6. Review proposals for changes in content, emphasis and approximate time allotment for each course offered. To facilitate this activity, all Directors of required medical degree courses shall submit, as part of the curriculum quality assurance program, an annual written report to the Curriculum Committee in which the educational operating procedures for each required medical degree course are reviewed and in which changes are proposed. Based upon its review of the reports, the Curriculum Committee will recommend curriculum changes to the Dean and Faculty Council;
7. Review the curriculum as a whole and recommend appropriate changes to the Dean and Faculty Council;
8. Examine the teaching methods and student learning environment and determine whether they are appropriate to meet the educational goals of the College.

- b. Curriculum Change Procedures: The Faculty Council will study the recommendation(s) for curriculum changes submitted for implementation by the Curriculum Committee, assess strengths and weaknesses, and notify the Dean and Curriculum Committee of its determinations of the academic merit of each of the recommendations. The Faculty Council's ex-officio representative to the Curriculum Committee has the discretion to act on behalf of the Faculty Council concerning course changes or submissions he/she deems to be minor changes. The ex-officio member shall refer major changes to the entire Faculty Council for discussion. When the Faculty Council determines that a major curricular recommendation does not have sufficient academic merit, the Faculty Council will notify the Curriculum Committee of its suggestions for strengthening the Curriculum Committee's final recommendation to the Dean.

Routine matters related to course administration will be coordinated by the Office of Academic Affairs by interaction with appropriate Course

Directors.

c. Membership:

The Curriculum Committee shall be composed of three basic science faculty, four clinical science faculty, one community-based faculty, a medical student representative from each class, the Associate Dean for Academic Affairs, and the Assistant Dean for Curriculum (as an ex officio member). The Chair will be the Associate Dean for Academic Affairs.

1. Faculty members will be recommended by the Faculty Council and appointed by the Dean after consultation with the appropriate Departmental Chair and Associate Deans.
2. Faculty members will be identified on the basis of their broad, educational perspective and their ability to view the curriculum as an integrated program. Terms of office shall be three years and in order to insure a continuum of activity and ideas, the membership terms will be staggered.
3. The student members are selected by their class. The junior and senior class representatives shall serve as voting members with one vote delegated to the senior if present or the junior class representative if the senior class representative is absent.
4. Standing subcommittees shall consist of the course directors of the various courses of the curriculum. The subcommittees shall be organized as deemed most appropriate and shall report to the Curriculum Committee and advise it.

3.42 The Student Progress and Promotions Committee:

This Committee will have a dual role, being advisory to the Faculty Council as well as the Dean according to the charges identified in 3.42, A and B. The Committee shall meet approximately nine times during the academic year at appropriate times to review, evaluate and recommend action regarding the academic performance of the students. In order to expedite their activities, the Chair may organize subcommittees to meet separately for the purpose of evaluating student progress in the respective year.

A. Charge: Two roles of the Committee are identified:

1. Advisory to the Faculty Council:
  - a. The Committee should periodically evaluate and recommend

changes in the official College of Medicine criteria, policies and procedures utilized in the evaluation of student academic performance and promotion.

- b. Report the action taken as a result of their deliberations using current College of Medicine promotions criteria.
- c. Identify any general reasons for students' failure to accomplish curriculum goals.
- d. Based upon their experience in evaluating the students' ability to meet academic requirements, the Committee may make recommendations concerning any changes in student admissions criteria.

## 2. Advisory to the Dean:

- a. Based upon official educational policies and criteria described in the College of Medicine catalog, the Committee shall identify those students having deficiencies and/or minimal passing performances as well as those students who have demonstrated outstanding academic achievements.
- b. Recommend remedies for those students found to be academically deficient and attempt to identify reasons for the individual student's failure to accomplish the curriculum goals.
- c. Recommend on each student's eligibility for promotion, graduation and/or leave of absence.
- d. Evaluate any moral or ethical matters concerning any particular student based upon findings by the Dean or information submitted by faculty. The Committee will obtain all information to determine whether the student's character, mental or physical fitness, personality traits or behavioral characteristics cast doubt upon his/her potential as a physician and recommend to the Dean, appropriate actions to be taken including dismissal of the student from the College of Medicine if the findings warrant this decision.

## B. Membership:

Members of the Committee shall be nominated by the Faculty Council and appointed by the Dean after consultation with the appropriate Departmental Chair.

- 1. The Committee shall be composed of nine faculty, four from the



preclinical and five from the clinical faculty regardless of departmental considerations. In general, faculty members of the Committee should be tenured, although there may be exceptions. The Assistant Dean of Student Affairs and a member of the Faculty Council shall be ex-officio members, without vote.

2. Term of office shall be four years and membership should be staggered so that two new appointments will be made annually.
3. The Chair of the Committee shall be appointed by the Dean after consultation with the Faculty Council and may be reappointed annually.

### 3.43 Admissions Committee

#### A. Charge

1. Recommend policies, requirements and procedures for admission to the College of Medicine for first year students and those for advanced standing in the educational program for the degree of Doctor of Medicine.
2. Evaluate the qualifications of applicants and recommend those selected for admission to the Dean of the College of Medicine.
3. Evaluate the various tools, criteria and procedures used in the process of appraisal and selection of applicants; study the trends of applications and admissions to medical schools locally, regionally and nationally; engage in recruitment activities and such other appropriate steps as may be useful in obtaining highly qualified medical students who also may be representative of diverse social and cultural backgrounds.
4. Participate, as may be appropriate and feasible, in visits to other colleges and universities, in conferences relating to admission, in career day programs and in other appropriate activities related to recruitment and admissions.
5. Coordinate and guide the activities of faculty members and students who serve as interviewers of prospective students; receive and evaluate interview reports and recommendations of interviewers as a source of information on the suitability of prospective candidates.

#### B. Membership:

The Committee shall have at least 15 members, the Chair, and the Assistant Dean for Admissions. The membership shall be distributed according to the

following criteria:

1. Four students (each year two third-year students shall be appointed for a two-year term);
2. Two community representatives (at least one of whom will be a community physician);
3. One medical center administrator experienced with Student Affairs;
4. At least nine faculty members representing both basic sciences and clinical sciences.

All members, except for the students, shall serve staggered three-year terms. The Chair shall be a faculty member who has previously served on the committee. If possible, he/she shall serve as Vice-Chair prior to assuming the role of the Chair. The Chair may serve consecutive terms at the request of the Dean. The Chair shall vote only in the case of a tie. The Assistant Dean for Admissions shall be a non-voting ex-officio member.

## ARTICLE III

### ADMINISTRATION OF THE COLLEGE

#### THE DEAN

- 1.0 The Dean is charged with overseeing the educational work of the college and its efficient conduct and management in all matters not specifically charged elsewhere. The dean is authorized to establish and enforce such policies and procedures as are attendant to the administrative management of the operations of the college.
- 1.1 The Dean is responsible for
  - 1.11 Implementation of the curricula of the college,
  - 1.12 Ensuring through the faculty the quality of instruction given therein,
  - 1.13 Assignment of duties to all personnel,
  - 1.14 For the service provided by the faculty of the college, individually and as a whole,
  - 1.15 Review faculty performance evaluations submitted by the department chairs,
  - 1.16 Recommendations on salaries, salary changes, appointments, reappointments, terminal appointments, post-retirement appointments, promotions, and granting of tenure and decisions not to reappoint for members of the college or for ultimate action thereon when such authority has been delegated by the President or the Provost.
  - 1.17 Submission of the budget request for the college and administer the budget when it is approved.
  - 1.18 Enforcement of *the Governing Regulations, the Administrative Regulations, University Senate Rules, Rules of the Graduate Faculty*, and the Rules of the college faculty.
  - 1.19 The Dean is the chair of the college faculty and an ex officio member of all college committees.
- 1.2 The Dean shall speak for the college. In the event that the Dean believes it necessary to depart from recommendations of the college faculty, the Dean shall communicate the college faculty's recommendation as well as the dean's recommendation, stating reasons for differing from the college faculty's opinion, and notify the college faculty of such action.

## **THE COUNCIL OF CHAIRS**

### **2.0 Purpose**

The Council of Chairs is advisory to the Dean and is charged with recommending and reviewing administrative policies and programs.

### **3.0 Responsibilities**

Specific responsibilities are as follows:

#### **3.1 Consider and make recommendations to the Dean on matters such as:**

- 3.11 the obligations, privileges and status of the faculty;
- 3.12 the budget planning, i.e., on the acquisition, allocation and management of resources and physical facilities of the College;
- 3.13 student disciplinary problems as may be referred by the Dean;
- 3.14 the initiation of new departments and/or centers and their relationship to existing departments and programs;
- 3.15 policies on departmental review (not to involve specific departmental reviews);
- 3.16 the relationships of the College of Medicine with other Colleges in the Medical Center, with other units of the University and with agencies, citizen's groups or individuals;
- 3.17 all other matters, not specifically in the province of the Faculty Council or the Faculty that relate to the educational, patient care and scholarly activities, as well as the research and administration, of the faculty and the College. These recommendations should be made known to the Faculty Council for their consideration and discussion;
- 3.18 the College of Medicine administrative committee structure, organization and function;
- 3.19 implementation of the academic standards and criteria for admission, promotion, probation or dismissal of students.

#### **3.2 Advise the Dean about the Faculty Council's recommendations.**

#### **3.3 Recommend potential agenda items for Faculty meetings to the Faculty Council.**

#### 4.0 Meetings

- 4.1 The Council of Chairs shall meet regularly, generally monthly and at other times on the call of the Dean or his/her designated representative, or upon request of a majority of the members of the Council.
- 4.2 A notice of the meeting and its agenda and related material shall be distributed to the members reasonably in advance of the meeting.
- 4.3 The Dean or his designated representative will preside.
- 4.4 The Dean, or a majority of the members of the Council, shall have the authority to invite any individual to the meeting, such as the Hospital Administrator or a University Senate Council member.
- 4.5 The resume of the discussion pertinent to agenda items will be circulated to all members of the Faculty by the Dean.

#### 5.0 Membership

- 5.1 The Council of Chairs will consist of all regular or acting Department Chairs and Center Directors.
- 5.2 All Associate Deans and the Chair of the Faculty Council will serve ex-officio, non-voting.
- 5.3 In the absence of the Chair, Acting Chair or Director, his/her designee may attend the meetings with the approval of the Dean, but will do so without vote.

**ARTICLE IV**  
**STUDENT ADVISORY COUNCIL**

**1.0     Purpose**

- 1.1     The Student Advisory Council shall serve as an official forum in which medical students may express their concerns and opinions concerning the conduct of the educational program of the College of Medicine.
- 1.2     The Council will meet monthly during the academic year with the Dean and members of his/her office and with the Faculty Council as requested by the Dean or Student Advisory Council.

**2.0     Charge**

The Council shall:

- 2.1     make recommendations on issues impacting on the educational programs of the College;
- 2.2     develop recommendations on matters related to student conduct and discipline;
- 2.3     facilitate the development of an appropriate form of responsible and representative student government in the College of Medicine;
- 2.4     serve as a liaison and advisory group to the Dean's Office on problems of student welfare and extracurricular activities;
- 2.5     review proposals for establishing student organizations, including recommendations as to conditions under which they may be organized and policy and procedures for their operation;
- 2.6     evaluate annually the adequacy and effectiveness of the various services of the College of Medicine as they may contribute to student education and general welfare.

**3.0     Membership**

- 3.1     The Council shall be composed of four elected medical student class Presidents, plus the President of Alpha Omega Alpha, Organization of Student Representatives, American Medical Student Association and Student National Medical Association. Four faculty members will serve as non-voting members.

- 3.11 The Vice President of the respective class or student organization shall serve as Council member in the absence of the class or organization's President.
- 3.12 It will be the important responsibility of each student representative to adequately report to his/her constituency on the activity of the Council.
- 3.13 Faculty representatives:
  - a. Faculty representatives will be elected by the students, with the Dean notifying the appropriate Departmental Chair.
  - b. Two representatives will be elected from Basic Science Departments and two from Clinical Departments.

## **ARTICLE V**

### **RATIFICATIONS AND AMENDMENTS**

- 1.0 Amendments to Articles I, II, and V
  - 1.1 May be introduced for consideration and discussion as agenda items of a regular or special Faculty meeting by the Faculty Council or by ten percent of the voting faculty;
  - 1.2 Shall be circulated to all voting faculty at least seven days before the meeting;
  - 1.3 Shall be voted upon by mail ballot not earlier than ten days following introduction and discussion in a Faculty meeting;
  - 1.4 Which represent substantive changes in the established Rules, shall require the approval of two-thirds of the voting faculty who ballot.

## OTHER COLLEGE OF MEDICINE RULES & PROCEDURES

The purpose of the Rules and Procedures of the Faculty of the College of Medicine is to promote effective and efficient conduct of the affairs of the college and to supplement the Governing and Administrative Regulations and the Rules of the University Senate.

The mission of the College of Medicine is to develop knowledge, skills and attitudes that promote professionalism, teamwork, life-long learning, empathy, scholarship, cultural sensitivity, and leadership, with the goal of providing excellence in education, health care and research within the Commonwealth of Kentucky and beyond.

The Vision of the College of Medicine is to:

- Improve the health of citizens of Kentucky and beyond
- Provide health care service in a supportive, culturally sensitive environment that exceeds the expectations of patients and their families
- Be a model of academic innovation through continuous curriculum improvement and educational research
- Make significant research contributions to health and science
- Create an environment that stimulates optimal faculty, staff and learner performance
- Promote integrative problem-solving across disciplinary boundaries
- Enhance economic development through research and service

The College of Medicine values:

- Health and well-being of all persons
- Compassion and respect for all persons
- Integrity and honesty
- Depth and breadth of knowledge
- Lifelong learning
- Creativity and discovery
- Entrepreneurial spirit
- Cultural and intellectual diversity
- Service, caring, and sensitivity to others
- Recognition of and respect for high-quality work
- Collaboration and teamwork

*Faculty Involvement in Establishing and Modifying Rules* -- The College of Medicine departments have the flexibility to establish and modify rules for their department. These are then reviewed by the Dean and approved by the Provost's Office in keeping with the University of Kentucky Governing and Administration Regulations. [Governing Regulation, Section VII, A (4)]

In 1997, Dr. Emery Wilson formed a Task Force on Faculty Affairs to identify issues related to faculty recruitment, appointment, retention, and advancement in the College. The Task Force's report and recommendations were presented to and accepted by the College. These results were compiled into the "Procedures for Appointment, Promotion, and Tenure" handbook. The handbook was written to serve as a tool to help the college improve our procedures for recruiting, appointing, evaluating, and promoting our faculty members. In 2005, Governing Regulation VII A.6. was revised to include the



following: “The department faculty shall 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 COM Procedures for Appointment, Promotion and Tenure handbook and The COM Rules and Procedures were modified in 2010 to include the Departmental Statement of Evidences.

*Conformity to Open Meeting Act, Open Records and Archives* -- The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy. <http://www.uky.edu/Legal/faq.htm>

*Policy on election to University Senate (SR 1.2.2.1.B)* -- The Dean’s Office for the College of Medicine conducts senate elections for vacancies in the second semester of the academic year, with the representatives’ elected taking office on August 16 of the following academic year. The election is conducted by electronic ballot. The ballot is sent to all full-time faculty members via their UK email address. The faculty members are given four weeks to respond with a two week reminder. The faculty members with the highest number of votes are asked to represent the College. If there is a tie vote the Dean will select the representative.

### *Functions and Policy-Making*

*Educational policies concerning teaching and research assistants* -- Departments follow the education policies established in the Administrative Regulations, AR5:2 regarding educational polices concerning teaching and research assistants.

*Educational policies to serve public service functions (AR 3:8, B3)* -- The University of Kentucky is committed to providing public service to the Commonwealth and its residents. The College of Medicine’s principal service-learning opportunities are Activate Johnson Elementary, University of Kentucky Salvation Army Clinic and Hispanic Health Fair.

*Statements regarding evidences of excellence in areas of faculty activity for promotion and tenure* – Are currently being written by each department and will be submit once the departmental faculty have approved, sometime during spring of 2010. The “UK COM Procedures for Appointment, Promotion and Tenure” booklet also provides definitions for scholarship and excellence for promotion.

*Policy on whether the faculty Standard Personnel File is kept in the Office of the Dean or Department (AR 2:1-1, VI., F)* Departments maintain personnel files for each faculty member, but the Standard Personnel File is maintained in the Dean’s Office. The Standard Personnel File contains the following documents:

1. Copies of the Notice of Academic Appointment forms.
2. Current curriculum vitae
3. Teaching credentials certification form and, if appropriate, the teaching credentials justification form
4. Official transcript of academic work leading to advanced degrees.
5. All official correspondence between chair and faculty members concerning appointments, promotions, tenure, reappointments, leaves, or faculty status.
6. Copies the Distribution of Effort Forms

7. Job description
8. Copies of the Faculty Performance Evaluations
9. Two and Four year evaluations for individuals in the Regular or Special Title Series.
10. Appointment and promotion dossiers minus the teaching and research portfolios
11. Job Offer letter

### Faculty Personnel Actions

*Appointment* -- Faculty appointments are in educational units and shall be of three types: (1) tenure-ineligible appointments; (2) tenured or tenure-eligible appointments; and (3) post-retirement appointments. (GR X-B.1). Before appointing a faculty employee, the department must ensure that it has followed the established hiring policies. Once the department has identified a need the following procedures are followed:

- A job description is written and approved by the appropriate committee/Provost
- An authorization to recruit form is completed by the department and forwarded to the Dean's Office for approval. The Dean's Office verifies funding and space.
- The department places advertisement.
- Once the search has closed, the department begins the screening process, narrowing the candidates down for interviews.
- A recommendation for appointment is made, or, in the event that no recommendation is made, the search is re-opened or terminated.
- The department prepares job offer letter and submits to the college. Once approved by the Associate Dean for Finance and Administration, the letter is routed to the Dean for signature.
- Once the candidate accepts the department's offer, the appointment dossier is prepared by the department.

*Distribution of Effort* – AR 3:10 <http://www.uky.edu/Regs/files/ar/ar3-10.pdf> A written agreement is to be developed annually between the department chair and the faculty member on the distribution of effort expected of the faculty member in major activities during the succeeding year. It is negotiated by the department chair or division director and the faculty member each spring and then approved by the Dean of the College. The DOE forms throughout the University have been redesigned in order to collect additional information that is now required by the Council on Higher Education under Senate Bill 109. The DOE is generated electronically by using the FES Client System. If the percentage of effort is significantly altered or funding changes after the signed DOE has been submitted to the Sponsored Projects Accounting Office, a new DOE version will need to be created and forwarded to the Sponsored Projects Accounting Office for approval.

In case of a significant change in the faculty member's distribution of activities during the review period, an appropriately revised agreement is to be negotiated. Refer to the IRIS website - <http://www.uky.edu/eForms/forms/DOEInstructions.pdf> and <http://www.uky.edu/eForms/forms/DOEForm.pdf>.

*Evaluation of Faculty Performance* -- AR 3:10 <http://www.uky.edu/Regs/files/ar/ar3-10.pdf> According to the University Regulations, the performance of all tenured faculty members will be reviewed the first year of the biennium, while the second year of the biennium is at the discretion of the dean. During the second year of the biennium, any tenured faculty member, upon request, must be granted an annual review. The performance of non-tenured faculty (full and part-time) will be reviewed annually. The

review period is from January 1st through December 31 and is due in the Dean's Office with an updated CV the first week of February. The University policies are applied for conducting faculty evaluations.

*Evaluation of department chair/director* -- The Dean evaluates each chair/center director annually during the faculty evaluation process. Each chair/director brings their accomplishments for the current year and goals for the following year. Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair. The college also follows the Provost's guidelines for appointment/reappointment of a department chair. Guidelines are attached.

*Notification of Non-Renewal of Untenured Faculty Appointment* -- Faculty in their first year of employment must be notified of termination no later than March 1. Faculty in their second year of employment must be notified of termination or reappointment decisions no later than December 15. Notification of non-renewal of appointment after more than two years of service shall be given at least 12 months before expiration of that appointment. [GR X, B.1. (e)]

*Promotion* - The review required for promotion and granting of tenure is a summative evaluation of both the candidate's accomplishments over the entire probationary period and the candidate's future scholarly potential. Recommendations for promotion and the granting of tenure, concerning faculty of any rank or title series, shall be initiated by the educational unit administrator. Reviews for promotion or granting tenure shall be completed in time for the affected faculty employee to be notified of the result in accordance with GR X.B.1(e). Promotion dossiers are submitted by the academic departments to the Dean's Office the first Friday of December.

*The Comprehensive Tenure Review* In a comprehensive tenure review, a dossier is reviewed at all levels of the University (educational unit, college advisory committee and dean, academic area advisory committee and Provost, and President), irrespective of the judgment, favorable or not, at the previous level of review. Considerable deference in tenure cases shall be shown by the Provost to the judgments emanating from the college, especially in cases where the Provost has determined that those college-level judgments (unit faculty, educational unit administrator, college advisory committee and dean) are nearly unanimous, either for or against the granting of tenure. Final action by the Board of Trustees, upon the recommendation of the President, shall result either in the granting of tenure and, where appropriate, promotion to the rank of Associate Professor, or the issuance of a terminal (one-year) reappointment contract. The exercise of a comprehensive tenure review shall not affect a faculty person's right to appeal a tenure decision on the grounds of procedure, privilege and/or academic freedom, as provided below (see section XI.B below), or to appeal as provided in the *Governing Regulations* (GR I.I).

A tenure-eligible faculty employee is entitled to one (1) comprehensive tenure review, which shall be completed no later than the end of the next-to-last year of the probationary period. A comprehensive tenure review shall also be extended to a new faculty employee whose initial appointment at the academic rank of Associate Professor or Professor also proposes immediate tenure. In addition, a comprehensive tenure shall be extended to a new faculty employee whose initial tenure-eligible appointment stipulates Professor (without tenure) and whose educational unit initiates a tenure review, and not a non-renewal of appointment, in the first year of service. (AR 2:1-1)

*Two and Four Reviews (AR 3:10, B-4)* - Department chairpersons shall consult with the tenured departmental faculty members in conducting progress reviews of all untenured departmental faculty member toward consideration for tenure in terms of the unit's expectations. These discussions should occur at the end of the non-tenured faculty member's second and fourth years of their probationary

period, but may occur more frequently at the administrator's discretion. The results of these discussions should be communicated to the individual non-tenured faculty member and a record maintained in the faculty member's standard personnel file. These evaluations provide the chairs with an indebt review to judge the achievements of junior faculty to address areas of deficiency.

### Academic Advising

Every first year student has the opportunity to have a faculty advisor in the College of Medicine. A student desiring an advisor is assigned one during the first semester of medical training. The student asks for a specific faculty member or indicates what specialty or area of medicine he/she is interested in and the Office of Student Affairs will take care of securing an advisor for the student. This advisor/advisee relationship could be for one year or for the entire period of medical school; the decision is made mutually between the faculty member and student. After the first year, a student may choose an advisor or change advisors. The advisor's role is to assist the student in getting adjusted to medicine and medical school, give guidance regarding electives, medical specialties and other career opportunities as well as serving as a role model and friend.

Students are monitored in course exam performance by the Assistant Dean for Student Affairs and the Student Progress and Promotions Committee. Upon inquiry by a student, or a directed visit with the Student Affairs Dean, academic counseling and triage to appropriate resources such as study skills, test taking sessions, tutors, time management sessions, personal counseling, etc. are provided.

Students are assisted on an individualized basis. After personal inquiry or directed visit, the student meets with the professional staff in the Office of Student Affairs where needs are assessed and resources provided as the need arises. Some students are referred to tutors for content specific assistance; others need study skill/time management/testing assistance which is available in the Office of Student Affairs; personal counseling is often started in the Office of Student Affairs; and if professional assistance is requested or deemed, appropriate the student is directed to those resources.

### Student Participation

Students are members of many committees at the University of Kentucky College of Medicine. They have input into quite a number of the decisions which are made at the college. This is quite important to the student body, given that broad changes have been made to the curriculum, which was developed using the Robert Wood Johnson Grant that the College of Medicine received. Revisions and changes are being made in the curriculum, and students are eager to make suggestions that improve courses throughout the entire curriculum.

The following are the committees upon which students serve:

Admissions Committee. There are currently two fourth year students and two third year student serving on this committee, for a term of two years. The interested students apply for the position late in their second year. The Director of Admissions, the Chair and Vice Chair of the Admissions Committee, and the Associate Dean for Academic Affairs review all applications and recommend to the Dean their choices for the student members, and he makes the final decision. The student members participate fully in this committee, and, as such, review application materials, interview applicants, and have equal voting responsibilities regarding admission decisions.

Curriculum Committee. There are currently four students on the Curriculum Committee. One student from each class is appointed by the Dean with input from the Associate Dean for Academic Affairs. The third and fourth year students have voting privileges, while the first and second year students are non-voting members.

Student Advisory Council (SAC). This committee was established by the Faculty Council of the college to appraise the Dean of and/or resolve problems that arise in the educational process, as well as to move toward goals of various projects undertaken by students. The committee is composed of the Dean, the Associate Dean for Academic Affairs, Assistant Dean for Student Affairs, two clinical and two basic science faculty members (invited by the students), the president of each class, and the presidents of the following student organizations: MSGA, AOA, KMA, AMSA, SNMA and OSR. The chairperson of the committee is the fourth year class president.

The Professional Code Committee. The college has instituted a Professional Code of student conduct with regards to cheating on examinations, plagiarism, as well as outlining the expected code of professional conduct by medical students. Each student signs an acknowledgement that he or she has received a copy of the Professional Code. The Professional Code Committee is composed of ten students: four from the senior class, three from the third year, two from the second year and one from the first year. Additionally, the Assistant Dean for Student Affairs and four faculty members (elected by the entire student body) also sit on this committee. Ultimately, this committee is involved in investigating reports of unprofessional behavior by medical students as well as being proactive in educating the faculty, students and staff of the college about professionalism issues.

Ad Hoc Committees. There are one or more medical students appointed to committees formed to review departments, re-appoint Chair and Deans, and to search for new Chair and/or Deans, or establish new policies regarding the college or Medical Center. Some of these committees include: the New Curriculum and LCME.

Diversity Advisory Committee - The DAC is advisory to the Dean of the College of Medicine. There are four medical students, each class will have a representative who will serve for four years; two graduate students, each will serve for four years with terms staggered; and two residents, each will serve for four years.

#### Important websites:

#### ***Faculty rules and procedures***

Administrative Rules and Regulations - [www.uky.edu/Regs/AR/](http://www.uky.edu/Regs/AR/)

Governing Rules and Regulations - [www.uky.edu/Regs/GR/](http://www.uky.edu/Regs/GR/)

College of Medicine -- <http://www.mc.uky.edu/medicine/>

Business Procedures Manual -- <http://www.uky.edu/EVPFA/Controller/BPM.htm>

College of Medicine APT Manual - <http://www.mc.uky.edu/medicine/faculty>

Guidelines for Promotion - <http://www.mc.uky.edu/medicine/faculty/guidelinesforpromotion.asp>

Office of the Associate Provost for Faculty Affairs - <http://www.uky.edu/Provost/APFA/>

Office of the Provost - <http://www.uky.edu/Provost/>

University Senate - <http://www.uky.edu/USC/New/>

Faculty Performance Review - <http://www.uky.edu/Regs/files/ar/ar3-10.pdf>

## ***Research***

University of Kentucky Research

<http://www.research.uky.edu>

Office of Sponsored Projects Administration (OSPA)

<http://www.research.uky.edu/ospa/>

Library system, databases

<http://www.uky.edu/Libraries/>

## ***Students/Education***

Undergraduate Bulletin - <http://www.uky.edu/Registrar/bulletinCurrent/toc2.htm>

Graduate School - <http://www.research.uky.edu/gs/>

Graduate School Bulletin -- <http://www.research.uky.edu/gs/bulletin/bullinfo.shtml>

Blackboard -- <http://www.uky.edu/Blackboard/>

Blood Borne Pathogen Exposure Policy --

[http://www.uky.edu/Provost/APFA/HCC\\_Documents/BBP\\_Policy\\_03\\_15\\_07.pdf](http://www.uky.edu/Provost/APFA/HCC_Documents/BBP_Policy_03_15_07.pdf)

Teaching and Academic Support Center (TASC) - <http://www.uky.edu/TASC/index.php>

## ***Behavioral Codes***

Student Rights and Responsibilities - <http://www.uky.edu/StudentAffairs/Code>

Behavioral Standards in Patient Care -

[http://www.mc.uky.edu/learningcenter/Manuals/Behavioral-Standards-In-Patient-Care\\_2.pdf](http://www.mc.uky.edu/learningcenter/Manuals/Behavioral-Standards-In-Patient-Care_2.pdf)

Health Sciences Student Professional Behavior Code

(<http://www.uky.edu/Regulations/AR/ar083.pdf>)

## ***Documents Included:***


- Letter from Provost Kumble Subbaswamy and Associate Provost Heidi Anderson regarding Information Concerning New Faculty
- Letter from Provost Kumble Subbaswamy and Associate Provost Heidi Anderson regarding Procedures for Faculty Appointment, Reappointment, Promotion and Tenure
- Opt-In Selection Information
- Letter from Provost Kumble Subbaswamy and Associate Provost Heidi Anderson regarding Faculty Performance Review
- Policies and Procedures on terminal reappointment
- COM APT Procedures for Appointment, Promotion and Tenure
- GR – Delay of Probationary Periods
- Revised Faculty Temporary Disability Leave Policy
- Sabbatical Leave and Vacation Leave Credit
- Faculty Childbirth and Maternity Leave
- HR Policy and Procedure regarding Nepotism
- Open Records
- Statement for Recruitment and Selection of Faculty
- Policy Announcement #6 - DOE for Administrative Faculty
- Policy Announcement #7 - University-Wide DOE Form
- Faculty Workload Policy Statement

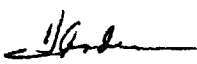


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## MEMORANDUM

To: Deans

From: Kumble R. Subbaswamy   
Provost

Heidi M. Anderson   
Associate Provost for Faculty Affairs

Subject: Minimum Salaries for Research Title Series Faculty Appointments Academic Year 2010-2011

Date: November 1, 2010

We have asked colleges and graduate program centers to adopt a uniform policy for minimum salaries for faculty in Research Title Series appointments. Due to budgetary constraints, please offer the same minimum amount of salaries for this year that was offered last year.

Please note for the 2010-2011 academic years, the twelve-month equivalent minimum salaries that can be offered to new faculty members or paid to a current faculty member in a Research Title Series position are as follows:

Assistant Professor	\$ 47,186
Associate Professor	\$ 57,431
Professor	\$ 78,451

For a faculty member in a Research Title Series position who is given a terminal contract, any subsequent re-hire must be treated as a new hire and is subject to compliance with the minimum salaries listed above.

Faculty in the Research Title Series must be reviewed during the annual faculty performance evaluation process. Merit salary increases should be commensurate with those of faculty in Regular or Special Titles Series positions at the same rank and in line with the individual faculty member's performance evaluation.

Finally, please note, this practice will be reviewed and examined prior to the next academic year.

kh



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## MEMORANDUM

To: Deans

From: Kumble Subbaswamy *KPS*  
Provost

Heidi M. Anderson *HMA*  
Associate Provost for Faculty Affairs

Subject: Information Concerning New Faculty

Date: August 18, 2009

As we begin a new academic year, it is important that new faculty receive a thorough orientation to the University's rules and regulations. Please ensure that this memo is shared with all new faculty within your College.

### Information for Prospective and New Faculty

1. Within one month of the beginning of a faculty member's employment, the following University documents and their locations, shall be shared with them:
  - a. the *Governing Regulations and Administrative Regulations*; especially sections dealing with appointment, promotion and tenure AR 2:1;
  - b. the *Rules of the University Senate*, in particular the Code of Faculty Responsibilities (Section 7.0);
  - c. the rules and procedures of his/her college;
  - d. the rules and procedures of his/her department or division;
  - e. his/her standard personnel file; and
  - f. the *Student Rights and Responsibilities*.

Please ask department chairs and/or directors to provide access to these documents as new faculty request them.

2. In addition, please alert faculty that this memo and other faculty information about criteria for academic ranks, performance evaluation, promotion and tenure regulations are available online at [http://www.uky.edu/Provost/APFA/Tenure\\_Promotion/](http://www.uky.edu/Provost/APFA/Tenure_Promotion/). Other sections of the website offers information about becoming familiar with the university, the community, career development sessions, resources for new faculty, as well as a directory of other new faculty.

### Faculty Standard Personnel File

In compliance with our university administrative regulation (AR 2:1-1 Section VI.F), any faculty member in a professorial title series or equivalent series, or lecturer series has one official Standard Personnel File. This file contains the faculty person's Notice of Academic Appointment and Assignment contract, transcript, curriculum vita and other work-related

see blue.

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College of Medicine Rules of Procedures 33



materials (i.e., distribution of effort, evaluation reports). Since thorough documentation is required when faculty are considered for reappointment, promotion and tenure; these materials will suffice for these purposes. Maintaining an up-to-date file is the joint responsibility of the faculty member and unit administrator. Note this file shall always be available for inspection by a faculty member upon their request to the unit administrator.

kh

cc: Lee T. Todd, Jr.



To: Deans

From: Kumble Subbaswamy, Provost  
Heidi M. Anderson, Associate Provost for Faculty Affairs

Office of the Provost  
105 Main Building  
Lexington, KY 40506-0032

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Subject: Appointment, Reappointment, Promotion and Tenure Procedures for 2009-2010

Date: July 28, 2009

Decisions to promote faculty and to award tenure are among the most important judgments made by any university. Those decisions determine the future quality of academic programs. As a comprehensive university, our richness is defined in part by the many kinds of activities faculty members engage in across the university. However, the variety of faculty assignments also contributes to the complexity of evaluating faculty performance. Therefore, the University must provide thoughtful, accurate and thorough guidance to all members of the academic community who participate in the evaluation of faculty for promotion and tenure. This memo is intended to offer such guidance.

The centrality of the educational unit faculty in the evaluation of faculty for appointment, reappointment, promotion and the granting of tenure cannot be overstated. It is within the Department/Division of the individual under review that the criteria for assessing faculty performance are best understood. As a promotion or tenure review dossier moves beyond the contexts of department and college, reviewers look to the judgments of the educational unit faculties, and the external reviewers they invite to participate in promotion or tenure cases, for their principal guidance. Indeed, considerable deference in tenure cases shall be shown by the Provost to the judgments emanating from the college, especially in cases where those college-level judgments (unit faculty, educational unit administrator, college advisory committee and dean) are nearly unanimous, either for or against the granting of tenure. In light of this weighty responsibility, educational unit faculties must engage in the evaluation of their fellow faculty with an unwavering commitment to the objectivity, rigor and integrity of the evaluative process, fully cognizant of the fact that a judicious and defensible outcome is predicated on the proper application of the University's policies and procedures on faculty evaluation.

Candidates for review must be apprised of the unit's expectations for excellence across all areas of assigned activity. Those expectations often include articulation in quantitative and qualitative terms (e.g., a scholarly book published by a reputable Press, articles in top-tier journals, an R01 or NSF grant, teaching evaluation scores at departmental norms, etc.). Such evidences are useful, although sole reliance on their formulaic application is inadequate. What counts most, and should be the yard stick by which we evaluate excellence, is the impact of an individual's work during the period in question on his or her scholarly community, on the students taught, on the community members or patients/clients served. Also important is the professional trajectory of the candidates as gleaned from the cumulative profile to date. Written evaluations from individual faculty members, external reviewers, advisory committees, chairs and deans are most

helpful if they are candid and balanced, judiciously identifying and discussing areas of strength and weakness in the candidate's record.

In past years this annual memo presented an extended overview of the university policies and procedures that inform faculty evaluation processes. A major revision of the principal *Administrative Regulation* on faculty evaluation (AR II-1.0-1 Parts I-III), which among other things has made the regulation vastly more readable, obviates the need to repeat here the contents of that AR. The revision of the Administrative Regulations also introduces a new indexing system. The Administrative Regulation AR II-1.0-1 Pages I-III has been renamed AR 2:1. As other sections of the Administrative Regulations are revised and approved by President Todd, they, too, shall be cataloged in the new indexing system. The website address for the Administrative Regulations [www.uky.edu/Regs](http://www.uky.edu/Regs) has not changed.

A summary of the substantive changes made to AR 2:1 (formerly AR II-1.0-1 Parts I-III) can be found below in the section titled "Changes in the Procedures and Regulations." We strongly encourage all concerned to review AR 2:1 ([www.uky.edu/Regs/ar.htm](http://www.uky.edu/Regs/ar.htm) under Chapter 2 - Academic Appointment (Faculty)). Additional information on faculty evaluation can be located at the website maintained by the Office of the Associate Provost for Faculty Affairs [www.uky.edu/Provost/APFA/Promotion\\_Tenure](http://www.uky.edu/Provost/APFA/Promotion_Tenure).

This university's approach to faculty tenure and promotion is based on an underlying assumption of enlightened recruitment, appropriate support and mentoring, and a presumption of success. It is also based on the expectation of significant achievement appropriate to a flagship, land-grant, research university of high ranking. These expectations must be well articulated, communicated, and applied consistently. The university's Top 20 mandate requires that we develop and apply standards appropriate to achieving the goal. As the new AR makes clear, time in rank is not an appropriate evaluative measure. Faculty should be considered for promotion or tenure as soon as his or her educational unit faculty and administrator determine that the individual's record of professional accomplishments across all areas of assigned activity have met or surpassed the appropriate criteria as codified in University regulations and contextualized in the unit's written statements on evidences, but not later than the sixth year for probationary faculty.

This memo consists of the following sections:

1. Changes in University Procedures and Regulations (Governing Regulations and Administrative Regulations – ARs/GRs) pertaining to faculty evaluation
2. Preparation of the Dossier
3. Relevant Appendices
  - a. Appendix 1 – Calendar
  - b. Appendix 2 – Checklist for Dossier Preparation
  - c. Appendix 3 – Teaching Portfolio

Please circulate this memo and the information on the Faculty Affairs website to the college faculty, educational unit administrators, and college advisory committees.

## Changes in the Procedures and Regulations

The principal Administrative Regulation on faculty personnel issues, AR 2:1 (formerly AR II-1.0-1 Pages I-III), has undergone two rounds of extensive revision. The first round of revision, which went into effect on July 1, 2008, affects all faculty employees whose initial appointment predates July 1, 2009. This first round of revision has been incorporated into AR 2:1-2. A second set of revisions, with an effective date of July 1, 2009 and indexed as AR 2:1-1, only affects those faculty employees whose initial appointments begin on or after July 1, 2009, except as noted below in Section B.

### A. Changes affecting all faculty employees undergoing personnel actions on or after July 1, 2009

- ***Increase in the Minimum Number of External Letters for Promotion and Tenure.*** Promotion and tenure dossiers must include a minimum of **six** letters of evaluation from qualified persons outside of the University. At least four (4) of the letters from outside of the University shall come from reviewers selected by the educational unit administrator independent of the candidate for promotion or tenure.
- ***Faculty Title Series.*** The pages relating to criteria for evaluation of faculty in the respective title series were updated to reflect the University's administrative reorganization under a Provost model. The pages are arranged into individual regulations based on the particular title series.
- ***Academic Area Advisory Committees.*** This regulation has been revised to modify the required review of dossiers by an academic area advisory committee (hereafter "area committee"), making optional the submission of a written evaluation by the area committee for dossiers that have near unanimous support from all lower-level reviewers (external, unit faculty, and educational unit administrators, college advisory committees and deans).
- ***Elimination of the Role of the Dean of Graduate School.*** The Provost is not required to seek the written evaluation of the Dean of the Graduate School on all promotion and tenure cases. However, the Provost may seek the advice of the Dean of the Graduate School as needed. (GR VII, Section B.2, effective July 2009)
- ***Written Statements of Evidence.*** The faculty of each educational unit shall be required to establish and recommend to the dean of the college written statements on ***disciplinary-based evidences that constitute excellence*** in areas of activity assigned to faculty within the educational unit. These statements must be appropriate to the field(s) represented in a given educational unit, and will require final review and approval by the dean of the college before they become effective. In a separate memo, we will provide more information about this exercise. (GR VII, Section I.A.6c, effective June 2009)

B. Changes affecting faculty employees whose initial appointments begin **on or after July 1, 2009**

- All of the bulleted items enumerated in Section A above, and the following additional changes:
- **One Comprehensive Tenure Review.** Administrative Regulation 2:1-1 provides for a comprehensive tenure review not later than the sixth-year of the probationary period of tenure-eligible faculty. In this review the dossier is evaluated at all levels of the University irrespective of the judgment (favorable or not) rendered by the previous level of review. (AR 2:1-1, Section III)
- **Terminal-year Tenure Review.** AR 2:1-1 includes explicit language on the limited circumstances for a terminal-year (tenure) review. (AR 2:1-1 Section IV)
- **Tenure Review Prior to the Sixth Year.** AR 2:-1 contains explicit language on the terms of a tenure review conducted prior to the sixth year of the probationary period. (AR 2:1-1 Section V)

The Senate Council has recommended and the Provost has agreed to establish an “opt-in” policy, whereby probationary faculty, whose initial faculty appointment began before July 1, 2009 but for whom a tenure review was not completed before July 1, 2009, may elect to be evaluated for the granting of tenure under the terms of the revised regulation (AR 2:1-1). A memo from the Provost on the “opt-in” provision for the group of current probationary faculty identified above will be distributed soon after the opening of the Fall 2009 semester.

**Preparation of the Dossier**

The preparation of a thorough and accurate dossier on a timely basis is the responsibility of the educational unit administrator (and *inters alia*, college dean). However, the faculty candidate is responsible for submitting in a timely manner those documents identified in AR 2:1 Appendix II (Matrix of Dossier Contents). When done correctly, the preparation of the dossier is straightforward, arising in large measure from materials that have been systematically accumulated during the probationary period by the candidate and educational unit administrator. All written judgments from consulted individuals shall be obtained only through the request of the educational unit administrator.

We strongly encourage chairs/directors to give a candidate the opportunity to review all descriptive (factual) materials in the dossier *before* the external evaluative letters are added to the dossier and the dossier is submitted to the faculty for its evaluation. If there is a dispute about the inclusion or exclusion of some documents, the matter should be referred to the Associate Provost for Faculty Affairs. It is the chair/director’s and the dean’s responsibility to ensure that no procedural errors occur in the evaluative process.

Colleges (i.e., deans) should submit complete dossiers to the Office of the Provost in the format listed in the appendix.

### ***Selection of External Evaluators***

Educational unit administrators are responsible for asking external and internal evaluators to make a substantive, professional judgment of the value and significance of a candidate's performance. They must inform the evaluators that their letters will not be confidential. The courts have made clear that judgments that are professionally rendered, and free of personal bias, will be protected. A university must be one institution in society where professional judgment of a colleague's work is offered without malice and without fear of retribution. When selecting letter writers external to the University for participation in tenure and promotion cases, an educational unit administrator must be mindful of the policies and procedures enumerated in AR 2:1-1 Section VI.G. and AR 2:1-2 Section III.F. In addition, we offer the following considerations for the selection of and guidance conveyed to outside evaluators:

- they are recognized experts in their disciplines;
- they are at peer or benchmark institutions;
- they stand at arms-length from the candidate (e.g., not dissertation advisor or post-doctoral supervisor);
- they provide detailed, textured and substantive analysis of the candidate's work;
- they render judgments on the candidate's work in terms of the prevailing standards applied in the discipline at leading departments.

We encourage department chairs and directors to ask candidates beforehand if there are external reviewers whom they wish to avoid for justifiable concerns about conflicts of interest. The department/college is then free to discuss and decide whether or not to accept any or all of the restrictions offered by the candidate.

The Chair (and perhaps the dean) must explain in his or her letter any deviations from the expected norms identified above (e.g., the leading expert in the world happens to be at a four-year college).

### ***Role of the Chair's/ Dean's Letter:***

Faculty activities in instruction, research and service vary considerably across colleges, departments, disciplines and subfields for tenure and promotion. While the custom in one discipline might be for the lead author to be the most junior, in another it might be an alphabetical list. While a student evaluation score of 2.5 might be the norm for teaching a notoriously difficult course, it might be seen as problematic in all other courses. The chair/director and dean have a joint responsibility to identify and carefully explain those differences in their evaluative letters. Such explanations become particularly critical when the candidate works in an emerging or highly interdisciplinary field. In dealing with collaborative work, the chair/director should solicit specific comments about and evaluation of the role of the candidate in the collaboration.

Furthermore, in contentious cases that are characterized by a mix of favorable and unfavorable judgments at the unit and college levels, the unit administrator and dean must include in their

letters of evaluations balanced and thoughtful commentaries on the strengths and weaknesses of the case.

***Good Practices in Tenure Evaluation: Clarity, Consistency, Candor, and Confidentiality***

- The judgments from all evaluators should provide a balanced analysis.
- Educational unit administrators are expected to explain the reasoning of both the majority and minority views, and explain the committees' responses to negative views expressed at previous levels.
- The faculty, administration and advisory committees must strive for unerring fidelity to the policies and processes on tenure evaluation as articulated in Governing Regulations and Administrative Regulations.
- The contents of the tenure dossier must contain the proper information as specified in the written regulations and rules and must be retained after the decision as described by the regulations.
- An institution will likely create a more positive environment for faculty retention by providing tenure-track faculty with clear explanations of the requirements for tenure and clear advice about their progress.

After the decisional process on a tenure and/or promotion case is complete, all letters of evaluation must be placed in the candidate's Standard Personnel File. A faculty employee must have unimpeded access to his or her Standard Personnel File. Pursuant to Kentucky Revised Statutes KRS 61.878(3), the written judgments of persons consulted in connection with appointments, promotions, and tenure decisions are not confidential, and the writers of such judgments shall be notified when their judgments are solicited. Furthermore, under the Kentucky Open Records Law, a faculty person undergoing a personnel action (e.g., tenure, promotion, reappointment, etc) is entitled to inspect at any time the entire contents of a dossier compiled for the purpose of conducting an evaluation of the faculty person's performance. Against this backdrop of access granted by law to the candidate under review, all persons who are asked to participate in the review of an individual must be diligent in maintaining confidentiality with respect to the materials and conversations related to that review.

***Appendix I. Calendar for Promotion and Tenure Process***

**2009-2010 Calendar of Process**

Fall	Colleges review dossiers and make recommendations for promotion and tenure
January 11	Recommendations for promotions and tenure due in the Office of the Provost
January 29	Recommendations sent to the respective University Academic Area Advisory Committee
March 15	University Area Committees submit recommendations to the Provost
April	Provost Review and Recommendations to the President
May (early)	Letters to deans notifying them of final decisions



# COM CHECK LIST FOR DOSSIERS

(refer to AR 2-1 – Appendix II)

**Information is included in the dossier in the order listed, with a tab for each item.**

## FOR DEAN'S OFFICE USE ONLY

**Enclosed**

- 1 Recommendation of college dean
- 2 Recommendation of college advisory committee
- 3 Recommendation of department chair
- 4 Recommendations of directors of centers, institutes or other departments with which the candidate may be associated.
- 5 Up-to-date curriculum vitae or resume
- 6 a. List names and ranks of faculty members in the educational unit.
- 6 b. Written opinion of each faculty member required to be consulted within educational unit.
- 7 Written opinions of other faculty members consulted.
- 8 Letters providing evaluation of individual's abilities in teaching, research, or other areas:
  - a. obtained by chair from persons outside the University **not** suggested by the individual; **(at least four)**
  - b. obtained by chair from persons outside the University suggested by the individual **(at least two)**.
- 9 Brief biographical information on persons outside the University from whom chairman obtained letters and indication of which were suggested by candidate.
- 10 Copies of faculty merit reviews since the date of hire, **and copies of the tenure (two- and four-year) progress reviews.**
- 11 Description of the procedural steps used within the department and the college, and explanation of how these steps were communicated to the faculty member.
- 12 If adopted, statements at the department level describing the evidence of activity in teaching, research, and service that are appropriate to the field(s) of the department and the date of formal adoption.
- 13 The Teaching Portfolio where applicable.
- 14 Candidates personal statement on research
- 15 Candidates personal statement on service
- 16 Letters from students, undergraduate, professional and/or graduate, pertaining to candidate's instruction.
- 17 List of, and representative samples from research articles, books, patents, writings, or other creative productivity.
- 18 List of proposals submitted and grant or contract awards received.
- 19 Information or materials relating to professional status and activity, including copies of awards received for teaching or scholarship.
- 20 Information or materials relating to University and public service.
- 21 Distribution of Effort agreements since last promotion or appointment.
- 22 Description and criteria of special title series position or other assignment that differs from regular faculty position. Approved job description of title series that have been approved by an Area committee or Provost. (Regular Title Series Job description required for COM faculty)
- 23 If the choice is not obvious, specification of which Area Committee should review the file and the candidate's written consent to be considered by this committee.
- 24 Official Transcript from institution from which highest degree was earned.  
**(For Appointment of New Faculty Only)**
- 25 Datasheet for Proposed Members of Graduate Faculty, if applicable. No attached CV necessary.  
<http://www.rgs.uky.edu/gs/GraduateFacultyProposal.pdf>
- 26 Affirmative Action Form
- 27 Teaching Credentials Certification Form **(For Appointment of New Faculty Only)**
- 28 Signature Page
- 29 College of Medicine Appointment Form **(New Appointments Only)**
- 30 KMSF Practice Agreement **(Clinical Departments – New Appointments)**
- 31 Job offer letter **(New Appointments Only)**
- 32 Notice of Primary Appointment form (EO2)
- 33 Non-compete form **(Clinical Departments – New Full-time Appointments)**
- 34 Pre-Drug Screening/Background Check **(New Appointments Only)**

## APPENDIX I

### Teaching Portfolio (University System)

#### A. Teaching Evaluation

The teaching portfolio is composed of a variety of materials related to teaching and advising collected and maintained by the faculty member. It serves as an instrument for review, evaluation, and improvement of teaching and advising. The teaching portfolio enables faculty to describe their teaching assignments, methods, and circumstances, which - of necessity - vary widely in a complex university environment. The portfolio concept encourages faculty to submit a variety of materials that describe, explain, and assess teaching, advising, and related activities. Just as publications, extramural grants, and peer evaluations testify to the nature and quality of a faculty member's research, materials contained in the portfolio document the nature and quality of a faculty member's teaching and advising.

The following items are required for documentation of teaching:

1. A brief reflective statement by the instructor which describes teaching and advising assignments, sets forth philosophies or objectives, and provides whatever information may be necessary to provide colleagues with a context for interpreting and understanding the other evaluative information.
2. For each semester under review, a list of all courses taught, with the title, course number, number of students enrolled, and - for each different course - a short description.
3. Representative course syllabi.
4. A quantitative and qualitative summary of student evaluations.

The following items are suggested but not required:

1. Materials prepared for teaching activities, such as assignments, exercises, handouts, examinations or other assessment materials.
2. Indicators of student learning: such as examples of graded work; reference to students who succeed in advanced courses of study and/or who earn academic awards; accomplishments of former students; evident of learning by use of pre-and post-testing procedures.
3. Evidence of peer regard: colleague class visitation reports; peer evaluations of course content, materials, assignments, and practices.

4. Documentation of teaching-related activity: curriculum and course development; consulting work; innovative teaching methods; participation in teaching programs of other units or at other universities.

5. Evidence of recognition: teaching related grants; publications related to teaching and advising; teaching awards and honors.

6. Enumeration and description of work with individual students: supervision of Honors students, graduate students, independent or experiential learning; consultation with students outside the department.

B. Advising Evaluation

Where advising is a portion of the faculty member's usual assignment, evaluation should include the extent of advising and its quality along with an indication of the grounds for evaluation.

The portfolio must include the following items:

1. A section of the reflective statement which describes the nature and extent of advising and any other information necessary to provide colleagues with a context for evaluation of advising.

2. For each semester under review, the number and level of undergraduate and graduate program advises, and a list of masters and doctoral students for whom the instructor served as a member of a thesis or advisory committee.

3. A list of those students for whom the professor served as preceptor, or director of a thesis or dissertation.

4. Summary of activities associated with student organizations and service on student-faculty committees.

5. Student evaluation of advising.

The following item is suggested but not required:

Evaluation of advising by unit colleagues or administrators.

## Baker, Charlotte

---

**From:** Perman, Jay A  
**Sent:** Thursday, October 01, 2009 7:26 AM  
**To:** Booher, Ruth E  
**Cc:** Baker, Charlotte  
**Subject:** FW: Revised Promotion and Tenure Documents - Action Needed  
**Attachments:** FAQs About Regulations Final 093009.docx; Opt-In FAQ memo to probationary faculty Final 093009.docx; Opt In and Opt Out Election For Tenure Review, MEDICINE.xls

fyi

Jay A. Perman, M.D.  
Dean, College of Medicine  
Vice President for Clinical Affairs  
University of Kentucky

**From:** Leach, Margaret  
**Sent:** Wednesday, September 30, 2009 5:00 PM  
**To:** Berger, Joseph; Tibbs, Phillip A; Johnson, Darren L; Humphries, Roger L; Kaplan, Alan; Matheny, Sam; Bachner, Paul; Randall, Marcus E; Zwischenberger, Jay; Leukefeld, Carl; Vore, Mary E; Bowe, Edwin; Hays, Lon R; Pearson, Andrew; Reid, Michael B; Oates, M Elizabeth; Hansen, Wendy F; Cassis, Lisa A; Hersh, Louis B; Bricker, Tim; Debeer, Frederick C; Landfield, Philip W; Gash, Don M; Klim, Gerald  
**Cc:** Perman, Jay A  
**Subject:** Revised Promotion and Tenure Documents - Action Needed

Sent on behalf of Dr. Heidi Anderson

Dear Department Chairs/Directors:

This is follow-up about the revised administrative and governing regulations (ARs/GRs) on faculty appointment, promotion and tenure procedures and the 'opt-in' selection. As promised, two documents are attached: (1) an 'opt-in' memo for those eligible faculty to make a choice about which regulation they elect for their tenure review and (2) frequently asked questions (FAQs) about the regulation to help you respond to faculty concerns.

**Opt-in:** Probationary faculty who were hired before July 1, 2009 and have not been reviewed for tenure must make a decision about which regulations will apply to their tenure review. Thus, we have compiled a list of those probationary faculty within your college who were hired before July 1, 2009 and have not yet been reviewed for tenure. Please compare this list with your college/department records and distribute the 'opt-in' memo and FAQ document to the appropriate probationary faculty. Also, if there are any discrepancies between your college list and the attached list, please contact Margaret Leach ([mleach@email.uky.edu](mailto:mleach@email.uky.edu)) so that she can update the database.

**FAQs:** Note some sections of the FAQs will be helpful to all faculty, please distribute and/or discuss with them.

- Increase in minimum number of outside letters
- Role of academic area advisory committees

- Written statements of evidence in assigned faculty areas of activity
- Mandatory consultation with faculty

The FAQs will also be posted online at: [http://www.uky.edu/Provost/APFA/Promotion\\_Tenure/](http://www.uky.edu/Provost/APFA/Promotion_Tenure/)

As always, if you have any questions, please contact me.

Sincerely,

Heidi

Heidi Milia Anderson, Ph.D., FAPhA  
Associate Provost for Faculty Affairs  
University of Kentucky  
Office of the Provost  
859-323-6589  
[heidiaanderson@uky.edu](mailto:heidiaanderson@uky.edu)

September 30, 2009

MEMORANDUM

TO: All Probationary Faculty **Hired before July 1, 2009**

FROM: Provost Kumble R. Subbaswamy

SUBJECT: "Opt-In" Choice For Tenure Review

During the last few years, the principal Administrative Regulation on faculty personnel issues, AR 2:1-1 (formerly AR II-1.0-1 Pages I-III) has undergone extensive revision and approval by the President. A Provost's memorandum of July 28, 2009 explains these revisions and their impact with regard to the granting of tenure.

Both the revised Administrative Regulation (AR 2:1-1) and the former version (AR 2:1-2) will remain in effect until the former version is no longer applicable to any faculty member. A faculty member's initial appointment date determines the regulation under which that individual will be reviewed for tenure.

The purpose of this memo is to (1) explain which regulation applies to individual faculty members, and (2) invite eligible individuals to elect to 'opt-in' to the revised regulation.

*(1) Who may elect to be considered under the revised AR?*

If a faculty member's initial appointment **predates July 1, 2009**, and he/she has not already been reviewed for tenure, the individual may elect that his/her tenure review be conducted under revised policy (AR 2:1-1).

*(2) This option requires that the faculty member complete the attached form and return it to the department chair. **If the faculty member is in the final year of probation, he/she must return the form by October 30, 2009.** Other eligible individuals may return the form by April 1, 2010.*

*What if the faculty member does not complete and return the form?*

If the faculty member does not elect the revised policy, he/she will automatically be reviewed under the former policy (AR 2:1-2).

If you have any questions or concerns, please contact your Department Chair/Director or Associate Provost Heidi M. Anderson at 323-6589 or [heidanderson@uky.edu](mailto:heidanderson@uky.edu)

Name: \_\_\_\_\_

Employment Status (Check One):    ☐ Regular    ☐ Extension    ☐ Librarian    ☐ Special Title

College: \_\_\_\_\_ Department/School: \_\_\_\_\_

☐ **OPT-IN CHOICE. I elect to have my tenure review conducted under the policies and procedures articulated in the new Administrative Regulation (AR 2:1-1)**

.....

\_\_\_\_\_  
Faculty Member Signature                      Date

\_\_\_\_\_  
Department Chair Signature                      Date

\_\_\_\_\_  
Dean Signature                      Date

\_\_\_\_\_  
Provost Signature                      Date

If you will be reviewed for tenure **before June 30, 2010**, submit the form by **October 30, 2009**. Other eligible individuals may return this form by April 1, 2010.

Please return this form to your Department Chair/Director; who will submit it to Margaret Leach ([mleach@email.uky.edu](mailto:mleach@email.uky.edu)) in Office of Provost, 18 Main Building.

## **Frequently Asked Questions (FAQs) about the Revised Administrative and Governing Regulations on Promotion and Tenure**

The Administrative Regulation AR 2:1 (formerly AR II-1.0-1 Pages I-III) and sections of Governing Regulation VII have undergone revision. This FAQ provides a brief explanation of the key changes.

### **Overall Changes:**

*What are the key differences between the old and revised regulations?*

- Increase in minimum number of outside letters
- Role of academic area advisory committees
- Role of Dean of Graduate School
- Written statements of evidence in assigned faculty areas of activity
- One comprehensive tenure review
- Terminal year tenure review
- Tenure review prior to the sixth year
- Mandatory consultation with faculty

### **Brief Explanations of the key revisions:**

#### ***How many external letters are required for each dossier?***

Under the revised regulations, a minimum of six (6) letters of evaluation are required from qualified persons outside of the University. At least four (4) are selected by the educational administrator independent of the candidate. Under the old regulation, four (4) were required.

#### ***What is the revised role of the academic area advisory committees ("area committee")?***

Under the revised regulations the area committee is required to prepare a written evaluation to the Provost for all cases in which the individual under review has not received near-unanimous support from all lower-level reviewers (external letter writers, consulted unit faculty, and educational unit administrator, college advisory committees and deans). The area committee may elect to submit an evaluation on cases assigned to them that have received unanimous or near-unanimous support. Under the old regulation, the advisory committee was required to prepare written evaluations for all cases. The effect of this change helps ensure that academic area advisory committees spend the majority of their time focused on those cases characterized by differing recommendations among the various lower levels of review.

#### ***How has the role of the Dean of Graduate School changed?***

Previously, the Dean of the Graduate school evaluated each promotion and tenure case. The change has eliminated this required review and the Provost may seek the advice as needed.

#### ***What is the change regarding written statements of evidences?***

This regulation has been updated to require the faculty of each department or school to establish written statements describing the evidence of activity in instruction, research and service that is appropriate to their field(s) for use in guiding evaluations for promotion and tenure. The faculty of a college without departments or schools shall undertake this responsibility. Previously this was only voluntary. In addition, once they are approved by the dean, these written statements will become part of the respective department rules document.



***What is the deadline for completing these statements of evidence?***

*The approved statements are due on March 1, 2010 and at that time they will become part of the respective unit rules document.*

***When should these statements of evidence be included in the dossiers?***

*The statements of evidence will apply to faculty whose initial academic appointments begin on or after July 1, 2010.*

***How has the regulation about mandatory consultation with faculty changed?***

The revision adopts the "best practice" in higher education circles, which dictates that mandatory consultation should exclude those unit faculty persons who hold academic rank at or below the academic rank of an individual being considered for appointment, reappointment, terminal reappointment or promotion. The revised language of this section of GR VII permits the tenured/tenure-track faculty of a unit to establish policies that extend the *minimum* consultation requirements (as prescribed in this revision) to include the specified participation of other full-time faculty employees in any series in the department.

***What is the critical concern about a comprehensive tenure review?***

In a comprehensive tenure review, a dossier is reviewed at all levels of the University (educational unit, college advisory committee, dean, academic area advisory committee, Provost and President) irrespective of the judgment of the previous level(s). Faculty who are tenure-eligible are entitled to one comprehensive review, which shall be completed no later than the end of the next-to-last year of the probationary period.

***Are other faculty ranks entitled to a comprehensive tenure review?***

Yes, a comprehensive tenure review shall be extended to a prospective faculty employee who is being considered for an initial appointment at the academic rank of Associate Professor or Professor, when the proposed appointment also includes immediate tenure at the time of appointment. Also, a comprehensive tenure review shall be conducted when the initial tenure-eligible appointment stipulates Professor (without tenure) and when the educational unit initiates a tenure review, instead of a non-renewal of appointment, in the first year of service (see section VI.A.6 of AR 2:1-1).

***What is the requirement for a terminal contract year review?***

After consultation with the unit faculty, an educational unit administrator may initiate a request to the dean for tenure consideration on behalf of a faculty employee who was placed on terminal contract either after a comprehensive tenure review or after waiving his or her right to a comprehensive tenure review. If the dean finds insufficient evidence to warrant a new tenure consideration, the dean shall deny the request and notify the educational unit administrator that a terminal year consideration of tenure shall not be initiated. If the dean determines that the evidence in support of a favorable tenure decision has substantially strengthened, the dean may grant the request and authorize the educational unit administrator to initiate the review.

***What is the process for a tenure review prior to the sixth year?***

An educational unit administrator may initiate a tenure review prior to the sixth year of probationary service if, in the opinion of the tenured faculty of the educational unit and the unit administrator, the individual's record of accomplishment across all areas of assignment is commensurate with the award of tenure. (The act of soliciting letters by the educational unit administrator from reviewers external to the University shall constitute the "initiation" of a tenure review.)

The review shall follow the policies and procedures that govern the conduct of the sixth-year (tenure) review (see AR 2:1-1) However, unlike a tenure review conducted in the sixth year of the probationary period, a tenure review initiated prior to the sixth year can be suspended by the dean. In such case, the

dean shall notify in writing the educational unit administrator of his or her decision to suspend the tenure review and indicate that the individual under review shall be entitled to an ordinary reappointment review at the appropriate time in that contract period and in subsequent contract periods.

A faculty employee whose tenure review has been suspended by the dean shall not be eligible for a subsequent tenure review until the sixth year of the probationary period. A sixth-year comprehensive tenure review of an individual whose previous tenure review was suspended by the dean shall be conducted according to the same policies and procedures as an individual whose tenure is reviewed for the first time during the sixth year. In this second review, the educational unit administrator shall include in the sixth-year (tenure) dossier those evaluative letters from the previously suspended tenure review that were submitted by reviewers external to the University.

***Who is automatically regulated by the revised AR 2:1?***

If your initial appointment date is **on or after** July 1, 2009, your tenure review will be conducted under the revised regulation (AR 2:1-1).

***Who may elect to be considered under the revised AR 2:1?***

If your initial appointment **predates** July 1, 2009, and you have not already been reviewed for tenure, you may elect to be reviewed by the revised policy (AR 2:1-1). This requires that you complete the attached form and return it to your department chair. **If you are in your sixth year of probation, you must return the form by October 12, 2009.** Other eligible individuals may return the form by May 1, 2010.


***What if I do not complete and return the 'opt-in' form?***


If you do not elect the revised policy, you will automatically be reviewed under the former policy (AR 2:1-2).



## MEMORANDUM

To: Deans

From: Kumble R. Subbaswamy   
Provost

Heidi M. Anderson   
Associate Provost for Faculty Affairs

Re: 2009-10 Faculty Performance Review: 2<sup>nd</sup> Year of Biennium

Date: September 11, 2009

Office of the Provost  
105 Main Building  
Lexington, KY 40506-0032  
859 257-2911  
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The evaluation of faculty performance is one of the most important functions of department chairs, division directors and other evaluators. The purpose of the Faculty Performance Review is to provide guidance for continuing and meaningful faculty development. When done properly, the evaluation process is an effective means of improving performance, motivating faculty members to reach higher levels of achievement, communicating expectations and dealing with performance-related problems. In addition, faculty performance evaluations are an important source of information for the promotion and tenure review process.

Administrative Regulation 3:10 ("Policies for Faculty Performance Review" *formerly AR II-1.0-5*) enumerates the policies and procedures for conducting performance evaluation of faculty at the University of Kentucky. This AR is attached and is also available online at [www.uky.edu/Regulations/AR.htm](http://www.uky.edu/Regulations/AR.htm). This memo provides a brief summary of those policies and procedures.

### **General Information**

- All probationary (tenure-track) faculty will be evaluated annually.
- All newly hired faculty in any title series will be evaluated in their first year of service.
- All faculty in the Lecturer Series will be evaluated annually.
- All tenure-ineligible faculty who are continuing will be evaluated annually (e.g., Clinical Title Series, Research Title Series).
- Any tenured faculty member may request an "off-year" performance review.
- Faculty performance shall be evaluated across all areas of assigned activity as recorded in the Distribution of Effort (DOE) applicable to the review period.
- Each faculty member under review is responsible for preparing a summary of professional accomplishments in each area of assigned activity; where teaching has been assigned, the faculty member also will prepare a teaching portfolio.
- Results of the evaluation will be communicated in writing to the faculty member by the department chair or school director, and to the dean.

### ***Joint Appointments***

For a faculty member with a joint appointment, where the secondary appointment comprises no more than twenty percent of the faculty member's effort, the chair of the department/division in which the faculty member has a primary appointment will evaluate the performance of the faculty member, with input from the chair of the department/division in which the individual has a secondary appointment. If the secondary appointment comprises more than twenty percent of the faculty member's effort, the faculty member will be evaluated by both the department/division chairs in the primary department and the secondary department.

### ***Schedule of Title Series for Review***

This is the second year of the biennium. The following table provides a summary of faculty to be reviewed:

Table of Which Faculty Receive Performance Review During **Second Year** of Biennium

	Regular Title Series	Special Title Series	Extension Title Series	Librarian Title Series	Research Title Series	Clinical Title Series	Lecturer or Senior Lecturer Ranks
Tenured	NO	NO	NO	NO	N/A	N/A	N/A
Tenure-track	YES	YES	YES	YES	N/A	N/A	N/A
Tenure-ineligible but continuing	N/A	N/A	N/A	N/A	YES	YES	YES
On terminal contract	NO	NO	NO	NO	NO*	NO*	NO*
Retiring this fiscal year	NO	NO	NO	NO	NO	NO	NO

\* unless agreed to by mutual consent of the faculty and dean

#### ***Exceptions in this Biennium:***

- Faculty who do not need to be evaluated include:
  - Tenured faculty who were evaluated during the first year of the biennium and do not request an "off-year" evaluation;
  - Tenured faculty who have formally indicated their intention to retire on or before the end of the current fiscal year;
  - Non-tenured faculty whose appointments will not be renewed (i.e., faculty on a terminal contract whose appointment will not extend beyond the end of the current fiscal year).

Faculty members exempt from a required review by these circumstances may, after consultation with their department chair/director, elect by mutual agreement to be reviewed on a voluntary basis. As indicated in the table above, faculty in title series ineligible for tenure but whose positions are likely to continue should be reviewed since future promotion and salary increments are linked to their evaluation. Faculty on out-of-state assignments in international or other programs shall be evaluated for purposes of performance review and promotion based on their performances and accomplishments in their assigned areas of activity in accord with AR 3:4.

### ***Process and Procedures***

Before beginning the evaluative process, the college dean or director shall communicate the procedures used in the performance review to all faculty members. Please be certain that the procedures employed in the performance review of faculty comply fully with AR 3:10 policies about the areas of performance, sources of evaluative material, distribution of effort, consultation with faculty, rating systems, and appeals. Please share a copy of this memorandum and attached regulation with your faculty, or provide the web locations for these regulations and this memorandum.

The performance review for each faculty member documents his or her effectiveness and progress in the following activities during the calendar year (for those not reviewed last year, the past two years): [1] instruction (i.e., teaching and advising); [2] research and/or other appropriate forms of creative scholarship; [3] university service, public service, outreach services, professional leadership, and/or other appropriate activities; [4] and patient care and related clinical activity. Reviews are to be based on the distribution of effort (DOE) performed by the faculty member. Thus, relative weightings and attention given to each activity in making judgments are to be based on the prior agreement of DOE across these activities. Quantitative and qualitative information will be used and explained in making judgments about performance.

The evaluation instrument or forms that are used in each college are to be developed by the dean of the college and must involve consultation with an appropriate faculty group. Letter, numerical, or descriptive designations may be used in the evaluation instrument, but the rankings must clearly recognize at least three designations: outstanding, good or satisfactory, and unsatisfactory performance. Evaluators should be both fair and constructive. Evaluations must contain sufficient written commentary to explain the assigned ratings, especially if there is an unsatisfactory rating or if the need for significant improvement is cited.

The department chair/director will review each faculty member and recommend an evaluation rating to the dean of the college. Also, it is expected that chairs and directors consult with a suitable committee of peers within the unit in arriving at merit ratings.

### ***Performance Review - Appeal Process***

All faculty members must be provided opportunities for an appeal at the college level as needed. Procedures for faculty appeals should be developed and clearly communicated to all faculty within the college. If a faculty member appeals at the college level and still disagrees with the decision of the dean, an appeal may be made to the Provost. An appeals committee will be appointed after seeking advice about the committee composition from the Senate Council. This appeal committee will make its recommendation to the Provost, whose decision will be final.

### ***Tenure Progress Review in 2<sup>nd</sup> and 4<sup>th</sup> Years***

Please be reminded that one element of policies on faculty performance review (AR 3:10.B.4) requires mandatory tenure progress reviews in which the "unit administrator shall consult with the tenured members of the faculty" and prepare a written progress review that the unit administrator shall share with the individual under review. These discussions and the written review that documents those discussions should occur at the end of the non-tenured faculty member's second and fourth years, but may occur more frequently. The written review shall be sent to the dean of the college and a copy shall be given to the individual under review and placed in the individual's Standard Personnel File.

### ***Calendar for Reviews***

The schedule for the review and evaluation process is as follows:

February 12, 2010	Review completed by college and faculty members informed of results.
March 12, 2010	Deadline for a faculty member to appeal at the college level.
April 5, 2010	Appeals at the college level completed.
April 26, 2010	Deadline for a faculty member to appeal to the Provost.
May 10, 2010	Appeals to Provost completed.

Finally, if there are any aspects of the review process on which you wish additional guidance, please feel free to contact us. Please note, this memorandum is also posted online at [http://www.uky.edu/Provost/APFA/Promotion\\_Tenure/Faculty\\_Performance\\_Review.pdf](http://www.uky.edu/Provost/APFA/Promotion_Tenure/Faculty_Performance_Review.pdf)

We welcome the opportunity to work with you in the faculty performance review process. Our investments in this activity help to move programs forward, and they support individual faculty development.

Thank you for your attention to the selection, progression and evaluation of our greatest asset – the faculty.

attachment

UNIVERSITY OF KENTUCKY  <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION AR 3:10 <i>(Formerly, AR II-1.0-5)</i>		PAGE 1
	DATE EFFECTIVE 12/16/00	SUPERSEDES REGULATION DATED 8/30/88 6/11/92 1/18/96 8/18/98 10/8/99	

## POLICIES FOR FACULTY PERFORMANCE REVIEW

The following University policies are to be applied in the conduct of faculty performance reviews:

A. The performance of tenured faculty will be reviewed annually or, at the discretion of the dean or president of the college, during the first year of each biennium with the rating applying for the biennium. Any tenured faculty member, upon request, shall be granted an annual review.

The performance of non-tenured faculty will be reviewed annually. Special attention will be given to the evaluation of persons in their first year of employment to maximize effective guidance.

In the University System, the Department/Division Chair will review each faculty member and recommend an evaluation rating to the dean/community college president of the college to which the department/division is assigned. The performance of each faculty member appointed in the extension title series will be reviewed by the chairperson of the department to which the individual is assigned and the dean of the college in which the individual's position is funded, using the evaluation instrument and appeal process of the college in which the individual's position is funded. For a faculty member with a joint appointment, where the secondary appointment comprises no more than twenty percent of the faculty member's effort, the chair of the department/division in which the faculty member has a primary appointment will evaluate the performance of the faculty member, with input from the chair of the department/division in which the individual has a secondary appointment. If the secondary appointment comprises more than twenty percent of the faculty member's effort, the faculty member will be evaluated by the department/division chairs in the primary department and the secondary department.

In a Graduate Center, the Center Director will review each faculty member assigned to the center and recommend an evaluation rating to the Dean of the Graduate School. A faculty member who has a joint appointment, where the secondary appointment in a center or institute comprises no more than twenty percent of the faculty member's effort, will be reviewed by the chair of the department in which the individual has a primary appointment, with input from the director of the respective center or institute. If the secondary appointment in a center or institute comprises more than twenty percent of the faculty member's effort, then the individual will be evaluated in both the primary department and the center or institute.

The performance of faculty on assignment in international programs or in other out-of-state programs shall be evaluated on the basis of their performances and accomplishments in their assigned areas of activity (refer to Section A of AR II-1.1-8).

Exceptions to these performance review policies will apply in cases of (1) tenured faculty who will retire before or at the end of the current fiscal year, and (2) non-tenured faculty whose appointments will not be renewed.

1. A primary purpose of the performance review is individual and institutional self-improvement. To help in achieving this purpose, the performance review will determine for each faculty member both a quantitative assessment and a qualitative judgment of the faculty member's activities during the review period in teaching and advising, research and scholarship, University and public service, and other appropriate activities with relative weightings based on a prior agreement pertinent to the distribution of effort among any or all of these activities.

2. To serve this purpose, inputs from students, colleagues, and administrators are to be used. Teaching, advising, research, and service assignments must be evaluated in annual and biennial reviews and in appointment, retention, promotion, and tenure. The results of these evaluations shall be considered in the decisions concerning retention, promotion, and merit ratings of each faculty member.

The assessment of teaching shall include the results of student appraisals for at least one semester per year, peer faculty appraisals based upon review of course syllabi, course materials, text, learning exercises, exams and in class presentation where applicable, and also other relevant information. Colleges, working through appropriate University bodies, shall develop some means to evaluate the quality as well as the quantity of academic advising done by each faculty member. As this procedure is developed and implemented, the results of this evaluation shall be considered in the annual performance review. The extent and character of each faculty member's teaching and advising should be documented by a body of supporting materials regularly maintained and updated by the faculty member. For the University System, such documentation shall include a teaching portfolio as outlined in Appendix I.

3. Evaluation of Collaborative Efforts: The products of collaborative and multidisciplinary efforts in teaching, research, and service shall be evaluated. The faculty member shall document the contribution he/she has made to the collective project. The appraisal of the faculty member's effectiveness as part of the collaborative or multidisciplinary effort should include evaluation statements by the other members of the team.

4. The quantitative data are to be provided at least once annually by the faculty member to the department or division chairperson through an instrument approved by the appropriate chancellor or vice president.

5. These data are to be supplemented by other inputs of the educational unit as pertinent.

B. Reviews are to be based upon the distribution of effort performed by the faculty member.



1. In any case for which an agreement on the distribution of effort has not been developed previously, the distribution of effort depicted by other approved instrument for the current year will be used.

2. During the spring semester of each year, the administrator of each educational unit (e.g., department, division, school, community college, or college organized as whole) with advice from the faculty of the unit will develop an overall distribution of faculty time for approval by the dean or president of the college or next administrative officer. In any case of disagreement that is not readily resolved, the decision of the dean or president of the college or next administrative officer will be final.

3. A written agreement is to be developed annually between the unit administrator and the faculty member on the distribution of effort expected of the faculty member in major activities during the succeeding year. For any faculty member who is or will be associated with a multidisciplinary research center or institute, the agreement shall be consistent with the conditions of establishment of the faculty position and signed by the faculty member, director of the research center or institute, the department chairperson, and the dean. In case of lack of agreement on the distribution of effort, the next higher level of University administration will become involved in resolving any issues. In case of a significant change in the faculty member's distribution of activities during the review period, an appropriately revised agreement is to be negotiated. An individual who is hired with the prospect of becoming a tenured faculty member shall be assigned duties by the unit commensurate with making due progress toward meeting requirements for tenure. The annual performance review of each non-tenured faculty member shall include some discussion with the unit administrator of the individual's progress toward consideration for tenure in terms of the unit's expectations.

4. The unit administrator shall consult with the tenured members of the faculty regarding the progress of each non-tenured faculty member toward consideration for tenure in terms of the unit's expectations. Consultation about a non-tenured faculty member who has been or is on assignment in an international program or in some other out-of-state program shall include, if the individual is eligible to be considered for tenure, evaluations of the individual's performance and accomplishments in assigned areas of activities in such programs (refer to Sections A and D of AR II-1.1-8). For each non-tenured faculty member who is associated with any multidisciplinary research centers or institutes, the unit administrator also shall consult with the directors of the pertinent centers or institutes. These discussions should occur at the end of the non-tenured faculty member's second and fourth years, but may occur more frequently at the administrator's discretion. The results of these discussions should be communicated to the individual non-tenured faculty member and a record maintained in the faculty member's file.

C. Rankings or ratings are to be used.

1. At least three evaluative groupings are to be used, whether letter, numerical, or descriptive designations.

2. The rankings are to be designed to recognize both outstanding and unsatisfactory performances as well as those appraised as degrees of good or satisfactory. Each academic unit must develop a clear set of expectations for satisfactory performance linked to the distribution of effort agreement.

D. An appeals process is to be developed for both the college and the academic sector (Medical Center, Lexington Campus, Community College System, Research and Graduate Studies, or Information Systems) levels.

1. On the sector level, under certain conditions and after being considered in the college, appeals can be addressed to the appropriate chancellor or vice president.

2. An appeal emanating from a college shall be considered by a committee appointed by the chancellor or vice president; after a hearing, the committee will make a recommendation to the chancellor or vice president whose decision shall be final.

E. The responsibility for developing the procedures by which the policies for faculty performance review are to be implemented in each academic sector of the University is centered in the office of the chancellor or vice president for that academic sector.

1. The colleges are the focal points to which the review procedures are delegated.

2. The dean or president of each college is responsible for the exercise of the procedures.

**University of Kentucky  
College of Medicine**

**Procedures for Appointment,  
Promotion and Tenure**

*August 2010*

The promotion guidelines outlined in this document apply to all University of Kentucky College of Medicine faculty members appointed on or after July 1, 1999.



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# Introduction

Consistent with the University of Kentucky's long-standing history of excellence and continuous improvement, a group of faculty members was appointed in 1997 to investigate its promotion and tenure process. After review of the group's report and consultation with University of Kentucky College of Medicine faculty members, the Faculty Council, and the department chairs (including extended discussion at the October 1997 Chairs Retreat), Dean Emery A. Wilson established an ad hoc Task Force on Faculty Affairs in December 1997.

The Task Force on Faculty Affairs (the membership of which is noted in the Acknowledgments Section) identified issues related to faculty recruitment, appointment, retention, and advancement in the College; reviewed recent documents on appointment, promotion, and tenure completed by various College of Medicine and University of Kentucky groups; studied materials related to appointment, promotion, and tenure at other colleges and universities; and recommended modifications in the appointment, promotion, and tenure policy and procedures for the College. The Task Force report and recommendations were presented to, and accepted by, the Dean, the Council of Chairs, the College of Medicine Appointment, Promotion, and Tenure Committee, and the College of Medicine Faculty Council.

This summary document has been prepared to advise faculty members and prospective faculty members of the appointment, promotion, and tenure procedures in the College of Medicine. The document begins with foundational principles highlighting the importance of the three missions of the College and the inter-relatedness of these missions, the unique service activities provided by clinical faculty members, and the College's ongoing commitment to excellence and scholarship. The document presents the definitions of scholarship and excellence as used by the College of Medicine and emphasizes the importance of ongoing excellence and scholarship to the vitality of the College.

The procedures for faculty appointment, reappointment, promotion, and granting of tenure in the College of Medicine are outlined, and these procedures are related to the University's administrative regulations and rules as revised in 2009-2010.

# Underlying Principles

The following principles provide the foundation for this document.

❖ The mission of the University of Kentucky College of Medicine has three equal and interrelated parts: education, research, and service. The success of each part of the mission is fundamental to the well-being of the entire organization. The College of Medicine's faculty structure and its policies and procedures for appointment, promotion, and tenure should flow from, and be consistent with, the mission and the strategic plan of the College.

❖ The College of Medicine is one college of the University of Kentucky. This document recognizes the supervening nature of University regulations and is intended to be consistent with those regulations. The procedures in this document are intended to govern all faculty members appointed in any basic science or clinical department of the College (with or without concurrent medical staff privileges in Chandler Medical Center). This includes full-time and part-time, salaried and unpaid, on-site and community-based faculty members.

❖ Faculty members must know the expectations for success and the process that will be used to judge whether those expectations have been met. The process used for judging faculty members should be known to them prospectively. Each department has developed the appropriate evidence for their discipline and that are indications of excellence in that discipline. Each of these Departmental Statement of Evidences (DSE) have been approved by the Provost of the University of Kentucky, and have been posted on the departmental website. The location (url) for each of these is listed at the end of this manual.

❖ Junior faculty members must be given the necessary resources, including time, to meet the guidelines for promotion. An initial investment of institutional resources is particularly important at the Assistant Professor level in tenure-possible positions, given the limited probationary period.

❖ The College supports the principle of academic freedom and the role of tenure as a means of helping to ensure academic freedom in the College setting.

❖ Scholarship and excellence are career-long commitments of a member of the academic community. Ongoing productivity throughout a career is expected. Time spent in various activities should correspond to the mission and needs of the College and the Department, the faculty workload policy, and the interests and productivity of the faculty member. Ongoing review of a faculty member's success in using allocated resources, including time, should occur. Except for bridge periods and other unusual events, research time allocated to senior faculty members should be justified on the basis of research productivity.

❖ Division chiefs, department chairs, and other administrators must be evaluated, in part, on their ability to appoint, develop, and promote faculty members who are successful.



# Overview And Faculty Structure

**Figure 1** provides an overview of the appointment, promotion, and tenure procedures for the College of Medicine. The College of Medicine mission forms the basis for proposed job descriptions for, and recruitment into, the College. The College of Medicine has a system of faculty designations characterized by the activities of, and expectations of, the faculty member. This designation is incorporated into the letter of appointment. Every faculty position is either tenure-eligible or contractual. Consistent with University regulations, each faculty member also is assigned to a University title series.

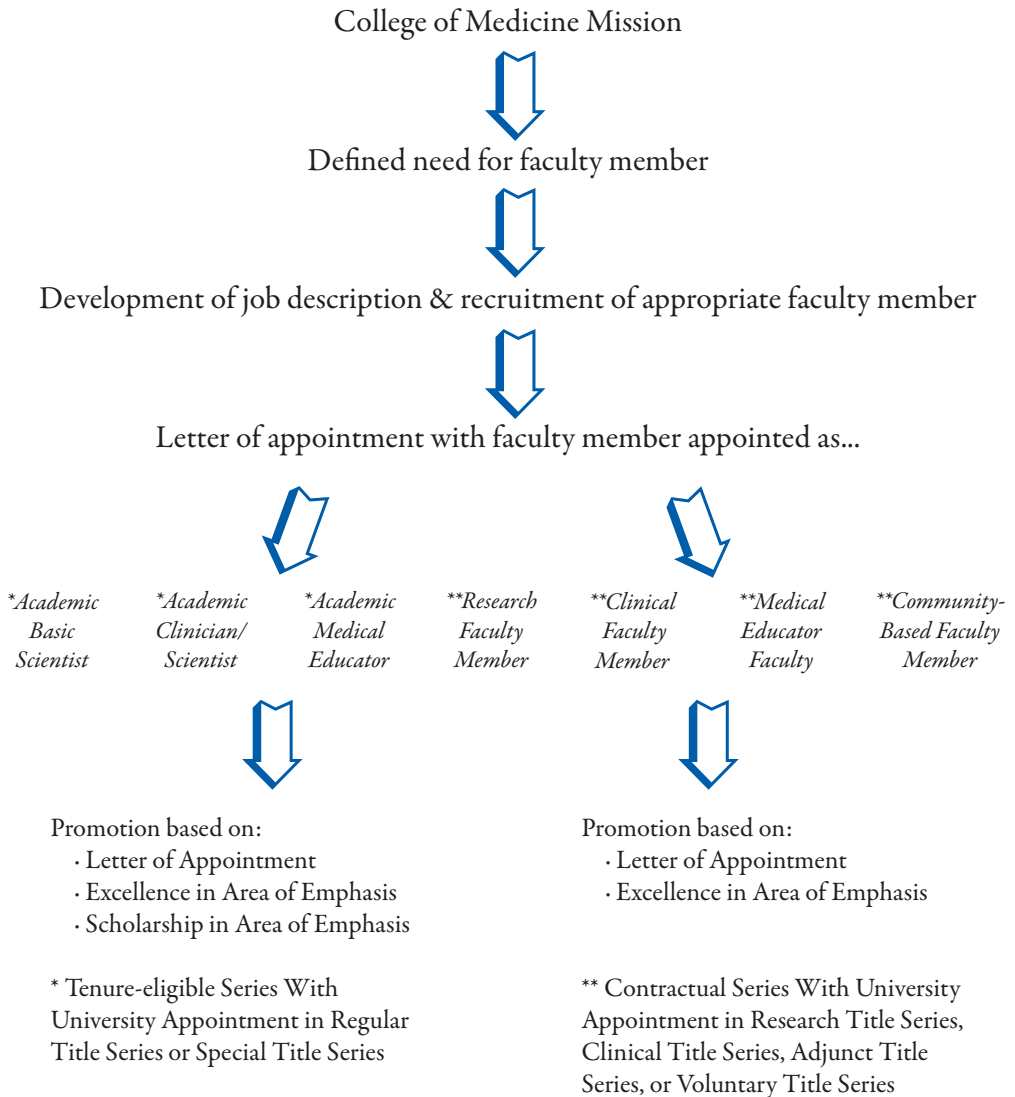
The seven faculty designations include three tenure-eligible positions: Academic Basic Scientist, Academic Clinician/Scientist, and Academic Medical Educator. The seven faculty designations also include four contractual positions: Research Faculty Member, Clinician Faculty Member, Medical Educator Faculty Member, and Community-Based Faculty Member. All of these positions are necessary and valued in the College. Differences in the designations are intended to reflect differences in areas of work and responsibilities, not differences in importance or value to the institution. The word “academic” as part of a position designation reflects the requirement that all faculty members in these positions be involved in scholarly activity and produce scholarly work, as detailed in the DSE developed by each Department in the College of Medicine.

The letter of appointment incorporates the faculty designation, the expected activities of the faculty member, the resources that the College will invest in the faculty member, and the expectations for success, including promotion, in the College. Ongoing faculty development and regular faculty review must occur. Faculty members should be evaluated in accordance with fair and consistent performance measures. All faculty members must meet the commitments stated in their letters of appointment, and must demonstrate excellence in their areas of emphasis. In addition, academic faculty members in tenure-eligible faculty designations must also meet the expectations of scholarly activity and productivity for their faculty designation and title series, as detailed in the DSE for each Department.

Throughout this document, the term “junior faculty member” is used to refer to Assistant Professors, and the term “senior faculty member” is used to refer to Associate Professors and Professors. Full-time is intended to imply full professional effort and includes nine- and 10-month appointments.

# Overview of College of Medicine Procedures for Appointment, Promotion, and Tenure

Figure 1



# Faculty Designations

## Academic Basic Scientist

Tenure-eligible Designation

University Title Series: Regular or Special

An Academic Basic Scientist is a person who has made a full-time commitment to the University of Kentucky and whose primary area of scholarly activity is the scholarship of discovery. Academic Basic Scientists usually will have a Ph.D. degree but may have an M.D./D.O. or other terminal degree appropriate to the appointment. Most Academic Basic Scientists will be in Basic Science Departments, but an Academic Basic Scientist could be in a clinical department. Most commonly, the Academic Basic Scientist will conduct research of a basic science nature. Current National Institutes of Health (NIH) definitions of clinical research include research using human tissue; an investigator involved in this type of clinical research may be considered an Academic Basic Scientist. However, faculty members involved in clinical research using human subjects typically will not be in this designation, although they may serve as collaborators in clinical research.

The Academic Basic Scientist faculty designation is tenure-eligible and will be coupled with assignment to either the University's Regular Title Series or the Special Title Series. Most Academic Basic Scientists will be in the Regular Title Series. Occasionally, an Academic Basic Scientist may be appointed in the University's Special Title Series. For example, an administrative director of a research program appropriately might be so designated. Appointment into either the Regular or Special Title Series is associated with the expectation of the production of scholarly activity.

Academic Basic Scientists are expected to be productive in research throughout their academic careers; for senior faculty members it is expected that this productivity will be accompanied by external funding to support their research programs. In the event that a senior Academic Basic Scientist no longer has such funding or the reasonable expectation of such funding in the near future, this person's activities should be appropriately realigned with the talents and interests of the faculty member and the needs of the department and the institution. This realignment typically will include increased activities in other areas. If appropriate, the faculty member's designation and job description should change. Reassignment of title series also may be appropriate.

# Faculty Designations

## Academic Clinician/Scientist

Tenure-eligible Designation

University Title Series: Special or Regular

An Academic Clinician/Scientist is a person who has made a full-time commitment to the University of Kentucky; whose primary service activity involves, or interfaces with, patient care; and whose primary area of scholarly activity involves human subjects or issues directly related to patient care (health policy, health care delivery, or both). Academic Clinician/Scientists usually will have an M.D./D.O. degree, but may have a Ph.D. or other terminal degree appropriate to the appointment. Most Academic Clinicians/Scientists will be in Clinical Departments, but an Academic Clinician/Scientist could be in a Basic Science Department.

The Academic Clinician/Scientist faculty designation is tenure-eligible and will be coupled with assignment to either the University's Special Title Series or the Regular Title Series. Most Academic Clinician/Scientists will be in the Special Title Series, but an Academic Clinician/Scientist may be appointed in the University's Regular Title Series. Appointment into either the Special or Regular Title Series is associated with the expectation of the production of scholarly activity.

Academic Clinician/Scientists are expected to be productive in scholarship throughout their academic careers. Academic Clinician/Scientists for whom significant amounts of time are allocated for research are expected to be productive in research throughout their academic careers; for senior faculty members it is expected that this productivity will be accompanied by external funding to support their research programs. In the event that a senior Academic Clinician/Scientist no longer has such funding or the reasonable expectation of such funding in the near future, this person's activities should be appropriately re-aligned with the talents and interests of the faculty member and the needs of the department and the institution. This realignment typically will include increased activities in other areas. If appropriate, the faculty member's designation should change. Reassignment of title series also may be appropriate.

# Faculty Designations

## Academic Medical Educator

Tenure-eligible Faculty Designation

University Title Series: Special or Regular

An Academic Medical Educator is a person who has made a full-time commitment to the University of Kentucky and whose primary area of emphasis of scholarly and service activity is the education of medical, graduate, and undergraduate students, including residents or fellows. These faculty members will have a terminal degree, usually an M.D./D.O. or Ph.D., appropriate to the appointment. An Academic Medical Educator usually will be a member of a Clinical Department but may be a member of a Basic Science Department.

The Academic Medical Educator faculty designation is tenure-eligible and will be coupled with assignment to either the University's Regular Title Series or the Special Title Series. Most Academic Medical Educators will be in the Special Title Series, but an Academic Medical Educator could be appointed in the University's Regular Title Series. Appointment into either the Regular or Special Title Series is associated with the expectation of the production of scholarly activity.

Academic Medical Educators are expected to produce scholarly activity throughout their academic careers. Academic Medical Educators for whom significant amounts of time are allocated for research are expected to be productive in research throughout their academic careers; for senior faculty members it is expected that this productivity will be accompanied by external funding to support their research programs. In the event that a senior Academic Medical Educator no longer has such funding or a reasonable expectation of such funding in the near future, this person's activities should be appropriately realigned with the talents and interests of the faculty member and the needs of the department and the institution. This realignment typically will include increased activities in other areas. If appropriate, the faculty member's College of Medicine faculty role designation and job description designation should change. Reassignment of title series also may be appropriate.

# **Faculty Designations**

## **Research Faculty**

Contractual Faculty Designation  
University Title Series: Research

A Research Faculty member is a person who has made a full-time commitment to the University of Kentucky and whose primary area of emphasis is research of either a basic science or clinical nature. Research faculty members usually have a terminal degree (M.D./D.O. or Ph.D.) appropriate to the research in which they are involved. A Research Faculty person may be a member of either a basic science department or a clinical department.

The Research Faculty designation is contractual in nature and will be coupled with assignment in the University Research Title Series. This faculty member's activities will focus almost completely on research and related activities. University regulations preclude this faculty member from participating in regularly scheduled teaching activities, but this faculty member does participate in the education activities of the department and is particularly important in graduate student education.

## **Clinical Faculty**

Contractual Faculty Designation  
University Title Series: Clinical

A Clinical Faculty member is a person, usually a physician, who has made a significant time commitment (usually full time) to the University of Kentucky and whose primary area of emphasis is the clinical practice of medicine, including medical administration. These faculty members typically have a terminal degree, usually an M.D./D.O., appropriate to their activities. A Clinical Faculty person is usually a member of a clinical department.

The Clinical Faculty designation is contractual in nature and will be coupled with assignment in the University's Clinical Title Series. This faculty member's efforts will focus heavily on patient care and related activities. Clinical Faculty members frequently participate in teaching activities, particularly in the clinical instruction of medical students, residents, and other health professions students.

## **Faculty Designations**

### **Medical Educator Faculty**

Contractual Faculty Designation

University Title Series: Adjunct

A Medical Educator Faculty member is a person who has made a significant time commitment to the University of Kentucky and who primarily is involved in the education of medical, graduate, and undergraduate students, including residents and fellows. These activities may include medical education administration. A Medical Educator may be a member of a clinical or a basic science department.

The Medical Educator Faculty designation is contractual in nature and will be coupled with assignment in the University Adjunct Series. The University of Kentucky is considering development of a Lecturer Series for faculty members. If this series is developed, it may be an appropriate series for these faculty members.

### **Community-Based Faculty**

Contractual Faculty Designation

University Title Series: Voluntary or Adjunct

A Community-Based Faculty member is a person, usually a physician, whose primary professional work is conducted outside the University but who has made a commitment of time to teaching, service, or other activity in the College of Medicine. These faculty members usually are involved in educating medical students, residents, and health professions students in clinical settings external to the University's facilities, but they also may be involved in medical administration, clinical research, health policy, etc. A Community-Based Faculty person is usually a member of a clinical department.

The Community-Based Faculty designation is contractual in nature. These faculty members usually are assigned to the University's Voluntary Series but may have Adjunct Series appointments.

## The Appointment Process

A first step toward establishing a strong and successful faculty community is to recruit and appoint outstanding faculty members. The mission of the College has three equal and interrelated parts: education, research, and service, with the provision of health care to the commonwealth of Kentucky as a fundamental service activity. Because the success of all three missions is crucial to the organization, faculty members should be appointed in a variety of capacities designed to meet the goals of the College.

### *Job Descriptions and Recruitment*

In general, before a faculty member is recruited, a job description should be developed. This job description should evolve from the mission and strategic plan of the College and the Department. The job description should reflect the anticipated activities and expectations of the faculty member and the resources that will be invested in this faculty member. The faculty designation should be included in the job description.

Faculty searches and recruitment should be based on the job description that has been developed. Several faculty designations are in tenure-eligible positions. Faculty members who will be in tenure-eligible positions (whether currently tenured or not) will be expected to devote their full professional efforts to the University. Most contractual faculty members, except for Community-Based Faculty members, devote their full professional efforts to the University. All faculty members are expected to demonstrate excellence in their professional activities. In addition, faculty members in tenure-eligible designations are expected to produce scholarship as part of their academic roles. The Departmental Statement of Evidences describes the types of scholarship that are germane to discipline and that exemplify excellence.

Several faculty designations correspond to long-term contractual positions, usually of a full-time nature, with the College. These positions are not eligible for tenure. These positions are appropriate for excellent researchers, clinicians, and educators who are enthusiastic about participating in the academic environment but do not wish to pursue tenure; faculty members in jobs that reflect primarily a service role, including most administrative roles, and do not have a requirement of scholarly productivity; participants in certain clinical, educational, and research programs that are essential to the institutional mission and projected to be limited in duration. In addition, all secondary appointments (joint appointments) in the College of Medicine are contractual in nature.



The faculty designation of Community-Based Faculty member corresponds to a contractual relationship with the college, frequently long-term, in which the faculty member maintains his or her primary professional activities outside the college. The faculty members play a critical role in the education of medical students, make other important contributions to the mission of the college, or both.

When a Department considers a faculty appointment for an individual who is a specialist in a discipline represented in other departments or schools of the University, a proposal regarding the plan and process for promotion (and tenure, if appropriate) should be negotiated with the appropriate administrators. Optimally, the Department that best represents the faculty member's principal discipline should agree to a dual appointment; this possibility should be explored. However, these faculty members may be hired into a faculty position that is or may be tenured without a dual appointment in the Department of the faculty member's principal discipline.

All faculty members should be allowed and encouraged to teach within the limits allowed by University regulations. All faculty members should be encouraged to participate in appropriate College of Medicine, Hospital, and Kentucky Medical Services Foundation (KMSF) committees. The academic community benefits from full participation of all faculty.

### *Letter of Appointment*

A letter of appointment should be completed for, and signed by, every new faculty member before he/she begins work at the College of Medicine. The letter of appointment will come from the Department Chair and also will be approved and signed by the Dean or the Dean's designate.

The letter of appointment should include a description of the prospective faculty member's activities and also the faculty designation and University Title Series. The letter of appointment should include the College and departmental expectations of the faculty member and a description of the resources, including time, that will be afforded to the faculty member to meet these expectations. The letter of appointment should outline the specific guidelines by which the faculty member's performance will be judged.

The appointment letter will form the basis for work assignments (Distribution of Effort [DOE] allocations). Faculty members sign the DOE document. The performance of the faculty member as judged by the guidelines in the appointment letter should form the basis for reappointment and promotion decisions.

## *Institutional Investment in Faculty Members*

The College of Medicine is committed to working together with faculty members to advance institutional goals and the professional and personal goals of faculty members. The College recognizes the value of investing in the professional development of all faculty members. The type of investment made is dependent, in part, on the developmental stage of, and the expectations placed on, a particular faculty member.

An initial investment of significant institutional resources in a faculty member is particularly important at the Assistant Professor level in tenure-eligible positions, given the limited time available to these faculty members in which to be promoted and the requirements for promotion. Commitment to this investment of resources, including time, is particularly important for faculty members who are expected to develop and conduct independent research that is externally funded. Ongoing and careful reviews of the faculty member's success in using allocated resources, including time, must be conducted.

## *Institutional Investment in Junior Faculty Members*

Specific discussion of institutional investment in junior faculty members who are in tenure-eligible faculty designations is warranted given the requirements for promotion and the time-limited nature of probationary periods.

Academic Basic Scientist, Academic Clinician/Scientist, and Academic Medical Educator faculty members in the University Regular Title Series are expected to demonstrate scholarship in a research area; demonstrate excellence across the areas of research, service, and teaching; and have an expanding national reputation in their areas of expertise. Faculty members in the Regular Title Series usually are involved in the scholarship of discovery (research). The Departmental Statement of Evidences provides information regarding the specific evidences of scholarship that are germane to each discipline. There is an expectation that Regular Title Series faculty members will develop individual research programs that generate their own external funding. Clearly, junior faculty members who will be judged by these expectations must have certain preparatory training, and the institution must make a significant initial investment in their careers.

No faculty member should be appointed to one of these designations in the Regular Title Series without research training or experience adequate to prepare that person to succeed in the assigned position. Post-doctoral experiences may be desirable for some basic scientists. Fellowships with significant research training, or other extensive research training, are probably necessary for clinical faculty members. If an otherwise promising applicant does not have this training, ap-

pointment in an alternative position for a defined period of time should be considered. This appointment may allow the faculty member the opportunity to gain skills that will be necessary for success.

Academic Basic Scientist, Academic Clinician/Scientist, or Academic Medical Educator faculty members appointed in the Regular Title Series must devote most of their time to research.

Early in the faculty member's career, this research time should be financed by the institution or the department as an investment in the faculty member. For faculty members conducting basic science research, this time allocation should be no less than 75 percent during year's one through three of a six-year probationary period. For faculty members conducting clinical research, this time allocation also should be no less than 75 percent during year's one through three of a six-year probationary period. However, recognizing that clinical service activities may be a synergistic and necessary part of clinical research, the 75 percent time allocated to research may include a portion of time (up to 25 percent of the total 100 percent allocated faculty time) allocated to clinical duties, as long as those clinical duties directly relate to the faculty member's research activities. For faculty members conducting educational or administrative research, this time allocation should be no less than 75 percent during years one through three of a six-year probationary period. However, recognizing that educational or administrative activities may be a synergistic and necessary part of educational or administrative research, the task force proposes that this 75 percent time allocated to research may include a portion of time (up to 25 percent of the total 100 percent allocated faculty time) allocated to educational or administrative duties, as long as those duties directly relate to the faculty member's research activities.

These time commitments should be reflected in the faculty member's DOE. If this degree of institutional investment is not available, or is not appropriate for the position, the faculty member should not be appointed in the Regular Title Series.

Faculty members in the Regular Title Series also must demonstrate excellence in teaching and service activities before they are promoted to the Associate Professor level (see discussion of promotion later in this document). However, these activities should not require more than 25 percent of the junior faculty member's time during the first three years of a six-year probationary appointment. These activities may be carried out in increasing amounts during the last three years of a probationary appointment so that the faculty member can demonstrate excellence and scholarship in these areas as well.

To be promoted, Academic Basic Scientist, Academic Clinician/Scientist, and Academic Medical Educator faculty members appointed into the University's Special Title Series must demonstrate excellence in their areas of emphasis, meet specific requirements of their letters of appointment, and be involved in scholarly activity with production of scholarly work in their areas of emphasis. College of Medicine promotion expectations for ALL faculty members in tenure-possible positions (regardless of University Title Series) include the production of scholarly work. The Departmental Statement of Evidences provides information regarding the specific evidences of scholarship that are germane to each discipline and each Title Series.

Faculty members in designations in the Special Title Series may conduct their scholarship in the area of discovery (research), but more frequently their scholarly activity will be in areas of integration, application and teaching. Certain types of clinical research, the development of clinical techniques, educational and program development, policy research, and development of clinical practice guidelines are a few examples. In addition, and distinct from the expectations of most faculty members in the Regular Title Series, it is expected that the scholarly activity of faculty members in the Special Title Series will include ongoing activities, apart from research, in the faculty member's primary area of emphasis (usually clinical patient care, education, health policy, administration). As a result, faculty members in the Special Title Series need specific time allocated toward pursuit of their scholarly activities, but the overlap between their service or teaching activities and their scholarship is such that less time need be reserved solely for scholarly activity.

Junior faculty members in the first three years of a probationary period in a Special Title Series position should be allocated a minimum of 25 percent time to conduct scholarly activity. This 25 percent time allocation should be specifically devoted to activities designed to produce the scholarly activity in their areas of emphasis (e.g., collaborative research, production of new and innovative clinical techniques, experimental curricula) rather than routine work activities in their areas of emphasis. It is expected that ongoing allocation of this amount of time devoted to scholarly activity should continue throughout the probationary period, with increasing expectations of productivity.

Junior faculty members appointed in the Special Title Series may be expected to devote a greater percentage of their time to service and teaching activities in the first three years of their probationary appointment than faculty members in the Regular Title Series. However, most of these activities should directly relate to the faculty member's area of emphasis and should be performed in limited amounts. Teaching and service commitments should increase with the faculty member's time in the institution.

## *Institutional Investment in Senior Faculty Members*

Faculty members recruited to the College of Medicine at a senior faculty level frequently will need institutional investment of resources, particularly time, early on. In general, these faculty members should need this investment for a shorter period of time than junior faculty members.

It is expected that all tenured faculty members will continue to be engaged in scholarly activity throughout their careers and will produce scholarly work throughout their careers, so that they may contribute to the College, University, and larger community. Periods of bridge funding and other support for senior faculty members whose research programs have dropped below necessary levels of external funding may be appropriate. However, overly lengthy periods or continued support of programs that are not reasonably anticipated to regain a necessary level of external funding is inappropriate. In such instances, reallocation of the faculty member's time and activities and institutional resources in a manner most consistent with College and Department goals should occur.

All faculty members are expected to be continually productive throughout their academic careers. Continued investment of time and resources in senior faculty members may be appropriate but will, in general, be less necessary. It is important, however, that senior faculty members, particularly at the Associate Professor level, have continued opportunities to pursue those activities necessary for promotion to the more senior levels.

## *Institutional Investment in Faculty Members in Contractual Positions*

All faculty members must demonstrate excellence in their areas of emphasis. Achieving this goal will require ongoing faculty development opportunities for all faculty members. An ongoing dialogue between the Chair and all members of a Department about the best way to meet the departmental and institutional needs and to achieve a faculty member's personal and academic goals is necessary. These discussions should contribute to decisions about the allocation of time and other resources, including professional development resources, to faculty members in contractual positions. This discussion is particularly important for junior faculty members in the formative years of their careers.

# Faculty Evaluation and Reappointment

## *General Guidelines*

Faculty members are reappointed to the College on a yearly basis. In general, the job description should not change markedly from year to year. Stability of job description will allow faculty members the best opportunity to succeed in the career tracks for which they have been recruited and appointed. A statement of reappointment is required for all reappointments. If there are significant changes in a job description or expectations of a faculty member, a letter of reappointment, similar in scope to the letter of appointment, should be generated.

On occasion, it may be necessary to change the responsibilities of a faculty member to meet institutional and patient care needs. The Chair should minimize any such changes wherever possible. If such changes are necessary, they should not be made in a way that makes it more difficult for that faculty member to meet the promotion guidelines of the faculty designation and assigned title series without the faculty member's consent. In the latter scenario, an appropriate change in the faculty member's faculty designation, title series, or both should be considered. If a job description changes in such a way that it may change assigned title series and promotion guidelines, this description must be forwarded to the appropriate area committee for review and approval.

The letter of appointment should form the basis of faculty evaluation and decisions about reappointment. All faculty members should receive regular and constructive feedback. Feedback should include verbal and written comments from the Chair (or Chair's designate) to each faculty member on an ongoing basis. The emphasis should be based on total academic performance. It may include, but should not be limited to, information about financial productivity.

Junior faculty members should be evaluated by the Department Chair (or designate) at least annually. More frequent communication may be appropriate. University-mandated two- and four-year reviews must occur. The two-year and four-year reviews should be performed jointly by the Department Chair and senior faculty members or by a representative group of senior faculty members. This will allow for an improved quality of feedback, especially in departments in which the chair may have a different focus of interest than the faculty member.

The third-year annual review of a junior faculty member must include specific consideration of the appropriateness of the faculty designation and title series given the work in which the faculty member is engaged and the expectations of the faculty member as articulated in the letter of appointment or reappointment. The focus of this specific consideration is on the consistency between these

elements, not on whether the faculty member is succeeding. If this review suggests that the faculty designation, the title series, or both are inappropriate to the work and expectations of the position, strong consideration should be given to bringing these elements in line with each other. This may include changing the faculty member's faculty designation, title series or both.

Changes between tenure-eligible University Title Series (i.e., Regular Title Series and Special Title Series) should not occur after the third year in the probationary period and cannot occur after the fourth year in the probationary period. This rule is necessary to ensure that an adequate track record for the demonstration of excellence and scholarship in the faculty member's area(s) of emphasis can be established for the promotion and tenure committee.

If a review concludes that a faculty member is unlikely to achieve tenure, this finding should be communicated to the faculty member. The faculty member and his or her chair should consider the options to continuing in the tenure-eligible position. These options may include changing faculty designation and changing title series designation, among others. Changes among faculty designations and title series are appropriate only when the faculty member clearly is meeting requirements for successful promotion in that area.

# Promotion

## *General Considerations*

The following guidelines for promotion are formulated to acknowledge the desirability of diversity in the faculty as well as the need for excellence and scholarly activity to maintain the academic standards and status of the institution. As part of an academic medical center, the College of Medicine fulfills missions in education, research, and service, with patient care as a unique and significant service role. The College requires committed and excellent faculty members in a broad range of disciplines. Faculty appointments in the College of Medicine are based on potential for and evidence of academic accomplishment. Over the course of their careers, faculty members may become eligible for promotion to higher rank on the basis of distinctive contributions, as determined by guidelines appropriate to their background and training and their academic and professional responsibilities. However, faculty members may be crucially important and valued contributors to the institution without necessarily aspiring to, or attaining, a tenured position or the rank of full professor in either a tenure track or contractual track position.

## *Academic Tenure*

Tenure is traditionally given to academic faculty members achieving senior faculty status after a successful probationary period that includes demonstration by the faculty members that they are likely to succeed and contribute to the institution on a long-term basis. The tenure policy exists primarily to ensure the continuation of an atmosphere of academic freedom. The University of Kentucky is committed to a tenure system, and this document is consistent with that commitment.

Academic tenure will be associated with promotion to the rank of Associate Professor in any of the tenure-eligible faculty designations (Academic Basic Scientist, Academic Clinician/Scientist, and Academic Medical Educator). The awarding of tenure is a serious step for the College and the faculty member, and is not based merely on time in service. In addition to the requirements noted above for promotion, tenure is awarded to individual faculty members upon evidence of the capacity and likelihood of continued intellectual, scholarly, and professional vitality; upon evidence of the ability and willingness to perform assigned duties; upon demonstration of a strong commitment to the College and the University; and upon evidence of a sense of responsibility and dedication to make the continuing exemplary performance of duties a reasonable expectation. The Departmental Statement of Evidences provides information regarding the



expectations in each Department for achievement of intellectual, scholarly, and professional vitality.

A faculty member may change from a tenure-eligible faculty designation to a contractual faculty designation at any time, with the concurrence of his or her Chair. A faculty member who has not previously been in a tenure-eligible designation may change from a contractual designation to a tenure-eligible designation, with the concurrence of his or her Chair and the Dean or Dean's designate. Because of University restrictions on movement between title series, great thought should be given to this process at the time of appointment.

### *Promotion Guidelines*

For promotion, all faculty members are expected to meet the terms outlined in their letter of appointment (or reappointment). These terms should be consistent with the faculty designation and university title series to which they are assigned, and with the Departmental Statement of Evidences as detailed for each title series.

For promotion, Academic Basic Scientist, Academic Clinician/Scientist, and Academic Medical Educator faculty members in the University Regular Title Series must demonstrate scholarly activity in research; excellence in research, teaching, and service; and an enlarging national presence related to their academic activities. For promotion, Academic Basic Scientist, Academic Clinician/Scientist, and Academic Medical Educator faculty members in the University Special Title Series must meet the terms of their letters of appointment and demonstrate excellence in their areas of emphasis; in the College of Medicine, demonstration of this excellence includes the expectation of scholarship in the faculty member's area of emphasis.

For promotion, Researcher, Clinician, and Medical Educator faculty members must meet the terms outlined in their letters of appointment (or reappointment). These terms should be consistent with the university title series to which they are assigned. In addition, these faculty members must demonstrate excellence in their areas of emphasis. Scholarly productivity is not mandated for promotion of faculty members in contractual positions (unless specified in a letter of appointment); however, scholarly productivity may be a demonstration of excellence.

This document provides the definitions of scholarship and excellence in use in the College of Medicine. It also provides examples of scholarship and excellence. The document presents guidelines for appointment and promotion to various academic levels for the various faculty designations.

Guidelines for promotion should be included in any letter of appointment and should, with the letter of appointment, serve as the basis for faculty evaluation, reappointment, and promotion decisions for an individual faculty member. Department chairs and College administration are responsible for assuring that there is consistency among promotion expectations for those appointed to a particular faculty designation.

### *Definition of Scholarship*

Scholarship relates to an intellectual and creative synthesis or analysis that leads to new knowledge or different insights, processes, and approaches. Given the complexity of the academic environment and the great diversity of talent within the College of Medicine faculty, it is imperative that the various kinds of academic work be recognized through a broad vision of scholarship. The individual Departmental Statement of Evidences provides examples of the scholarship germane to each of the sub disciplines represented in departments. A broad and dynamic definition of scholarship is one incorporating the categories of teaching, research, and service. Such a definition of scholarship brings legitimacy to the full scope of academic work. We subscribe to the following definitions of scholarship as adapted from Ernest L. Boyer's document *Scholarship Reconsidered: Priorities for the Professorate*.

**Scholarship of Discovery** - comes closest to the meaning of "research." Scholarship of discovery contributes not only to the inventory of human knowledge, but also to the intellectual climate of the College of Medicine. Scholars engaged in discovery ask, "What is to be known; what is yet to be found?"

**Scholarship of Integration** - gives meaning to collecting isolated facts and synthesizing them into a new perspective. Scholarship of integration means making connections across disciplines, placing specialties in a larger context, and illuminating data in a revealing way. Scholarship of integration seeks to interpret, draw together, and bring new insight to bear on original research and is closely related to the discovery of new information. Scholarship of integration also means interpretation, fitting one's own research or the research of others into larger intellectual patterns. Those engaged in discovery ask, "What is to be known; what is yet to be found?" Those engaged in integration ask, "What do the findings mean?" or "How can these findings be combined in a new or unique fashion?"

**Scholarship of Application** - is the application of knowledge to deal with consequential problems. In clinical medicine, application of scholarship is tied directly to one's special field of knowledge and relates to, and flows directly out of, this professional activity. Such scholarship of service is serious, demanding

work, requiring the rigor and the accountability traditionally associated with research activities. New intellectual understandings can arise out of the very act of application, whether in medical diagnosis, treatment, shaping of public policy, etc.

**Scholarship of Teaching** - recognizes that the work of academic faculty members becomes consequential only as it is understood by others. Teaching both educates and entices future scholars. Teaching is also a dynamic endeavor involving all of the analogies, metaphors, and images that build bridges between the teacher's understanding and the student's learning. A scholarly teacher stimulates active, not passive, learning and encourages students to be critical, creative thinkers with a capacity to go on learning after completing their formal education.

### *Measures of Scholarship*

Measures of scholarship include evidence of capacity to persuade, influence, or inspire. Regardless of the type of scholarship, it should possess the qualities of excellence, capability for review by peers, and dissemination in the public domain.

In the broadest sense, demonstration of scholarship takes place when a faculty member (1) questions assumptions, (2) takes risks by testing new hypotheses, and (3) disseminates ideas and findings to colleagues who critically evaluate the substance and implications of the scholarly work and its impact on the profession.

The scope of this definition clearly encompasses more than the research publication that, to date, has been typically offered as evidence of scholarship. Although publications in peer-reviewed journals, monographs, meeting proceedings, and peer-critiqued grant proposals will continue to provide prominent evidence of scholarly activity, an expanded concept of scholarship is becoming more commonplace and should receive recognition in the promotion and tenure decision process. Such evidence may consist of publication, or similar communications for areas in which publication is not possible or appropriate. For example, documentation in teaching could consist of a widely used text or videotape. Documentation of research productivity is evidenced by publications in scientific journals. In service, such documentation could consist of published clinical reviews, reports of innovative treatment, editorials, or authorship of special reports by major commissions or committees concerning health-related issues. Although no single form of documented achievement in scholarship need be presented to achieve promotion, there must be tangible evidence of scholarship by any of a variety of objective measures.

## *Excellence*

Excellence relates to a quality of performance or product. This quality is of sufficient magnitude to satisfy the expectation for promotion in any faculty designation. In some instances, measures used to describe excellence will be the same as those used to describe scholarship. In other instances, the measures will be related but different.

### *Measures of Excellence*

Demonstration of excellence sufficient to satisfy the judgment of the faculty member's peers, Department, and the College of Medicine Appointment, Promotion, and Tenure (APT) Committee will be based on at least one of the following. Excellence must be demonstrated in an objective way. Examples of how this excellence may be demonstrated are included in this section. These examples are not intended to be prescriptive or restrictive.

**Research:** Documentation of excellence is based on research presentations and publications. However, it must be clear that the quality of research is evidenced by innovation in published research, by the significance of the problems addressed, and by the opinions of outside reviewers, rather than by a simple compilation of lengthy bibliographies. The College of Medicine APT Committee will ordinarily will discount publications in journals that are known not to employ referees before publication. Success in obtaining continued grant support after peer review may represent meaningful documentation.

**Teaching:** Evidence for excellence in teaching may be the design and delivery of superior courses for either predoctoral or postdoctoral students. Evidence should include favorable evaluations by these students and Department or College of Medicine teaching awards. Peer review and the judgment of the members of the department will be given more weight in the evaluation of teaching than in other areas of excellence that are more easily documented. Nevertheless, anecdotal reports of outstanding ability in teaching will not by themselves suffice to establish this criterion. Widespread use of teaching materials developed by the faculty member, requests to demonstrate curricula, and presentations about teaching methods may demonstrate excellence.

**Service:** Excellence in clinical service will include extensive participation in patient care, and also may be manifested by recognition as a consultant through referrals of significant numbers of patients, by provision of unusual types of service not otherwise available in the region, by the organization of new types of patient care programs, and by other clinical services in addition to routine supervisory assignments. Measures of patient and referring physician satisfaction may demonstrate excellence.

Educational administration, planning, or analysis is to be considered as a contribution to service. Creditable service also may involve direction of a clinical laboratory, direction of clinical programs considered to be of benefit to the entire College of Medicine, important assistance with departmental or University administration, or educational administration, planning, or analysis of educational programs. Holding offices in national or state professional societies, service on commissions or editorial boards, or other forms of outside recognition of general contributions to the profession are evidence of professional service by the faculty member.

Although credit toward promotion will be accorded to members of the academic faculty who make exceptional contributions through administrative activities, administrative functions are a part of academic life, and some participation is expected of all faculty members. Extraordinary contributions associated with senior administrative responsibilities may carry considerable weight in the promotion and tenure process.

One criterion of excellence that may apply, but should not be considered a primary criterion, is time-in-grade, which is a consideration to the degree that consistency of performance is a favorable indication.

## *Guidelines for Promotion*

Tables A-H outline guidelines for promotion by faculty designation. These tables are to be used in concert with the definitions and examples of scholarship and excellence detailed above. If the number of faculty members affected is anticipated to be remarkably small (e.g., Academic Basic Scientist, Special Title Series), a table is not included. The individual faculty member in these roles, or recruited to these roles, should discuss guidelines with the department chair; these guidelines will be consistent with College and University rules and specifically will be outlined in the letter of appointment or reappointment. Tables A-H should be used in conjunction with the Departmental Statements of Evidences.

The departmental statements of evidences are available at <http://www.mc.uky.edu/medicine/faculty/guidelinesforpromotion.asp>

Anatomy and Neurobiology  
Anesthesiology  
Behavioral Science  
Emergency Medicine  
Family and Community Medicine  
Graduate Center for Nutritional Sciences  
Graduate Center of Toxicology  
Internal Medicine  
Microbiology, Immunology and Molecular Genetics  
Molecular and Biomedical Pharmacology  
Molecular and Cellular Biochemistry  
Neurology  
Neurosurgery  
Obstetrics and Gynecology  
Ophthalmology and Visual Sciences  
Orthopaedic Surgery  
Pathology and Laboratory Medicine  
Pediatrics  
Physical Medicine and Rehabilitation  
Physiology  
Psychiatry  
Radiation Medicine  
Radiology  
Surgery

## Academic Basic Scientist (Regular Title Series)

Assistant Professor	Associate Professor	Professor
Ph.D. or several years after M.D./D.O. with important commitment to original and independent biological or behavioral research. Significant formal research training. Strong potential for independent funding.	Excellent service as Assistant Professor at UKCOM (or its equivalent elsewhere) with record of excellence in biological or behavioral research. Independent funding and reasonable expectation of continued independent funding.	Excellent service as Associate Professor at UKCOM (or its equivalent elsewhere) with important accomplishments in biological or behavioral research. Independent funding and reasonable expectation of continued independent funding.
Contributor to, or author of, refereed, substantive publications; may include case reports or reviews.	Continuing publication in refereed journals of results from original investigation that is at forefront of field. Should be senior author or contributor of major ideas and innovations, with identifiable independence from senior scientific mentors.	Continuing publication of outstanding, original, and innovative research findings.
Potential for excellence in research training and in the education of medical students, graduate students, or both.	Active and effective participation in research training and in the education of medical students, graduate students, or both.	Key person in research training and active participation in the education of medical students, graduate students, or both.
Potential for high level of scientific competence in specialty area as evidenced by membership in professional scientific organizations.	Emerging national reputation as an original investigator outside the UK medical community, and membership in professional societies.	National and international reputation within his or her field, which may be evidenced by memberships in study sections, advisory groups, prestigious professional societies, etc., and awards, prizes, and other notable academic achievements.
<p style="text-align: center;">These guidelines are to be used in conjunction with the definitions and examples of scholarship and excellence provided in the College of Medicine Appointment, Promotion, and Tenure procedures.</p> <p style="text-align: center;"><b>Table A</b></p>		

## Academic Clinician/Scientist (Regular Title Series)

Assistant Professor	Associate Professor	Professor
Ph.D. or several years after M.D./D.O. with important commitment to clinical research. Formal research training via fellowship or post-doctoral experience. Strong potential for independent funding. Board eligibility or certification, or equivalent.	Excellent service as Assistant Professor at UKCOM (or its equivalent elsewhere). If M.D./D.O., board certification (or equivalent) with record of excellent clinical research. Independent funding and reasonable expectation of continued independent funding.	Excellent service as Associate Professor at UKCOM (or its equivalent elsewhere) with important accomplishments in clinical research. If M.D./D.O., board certification or equivalent. Independent funding, and reasonable expectation of continued independent funding.
Important contribution to, or authorship of, refereed, substantive publications, including case reports or reviews. May be reports of basic science, clinical applications of basic science, or both.	Publication of important and original clinical research.	Continuing publication of outstanding, original, and innovative research findings, important clinical applications of basic science, or both.
Demonstrated past excellence or potential for excellence in research training, clinical training, or both and in medical student education or other teaching programs.	Active and effective participation in research training, clinical training, or both, and in medical student education or other teaching programs.	Key person in research training, clinical training, or both; active participation in medical student education or other teaching programs.
Potential for high level of clinical and scientific competence as evidenced by membership in professional organization leadership role in department, hospital, or both.	Emerging reputation within his or her field and recognition as an authority in specialty both inside and outside the UK medical community; leadership role in health system; and membership in professional societies.	National and international reputation within his or her field as evidenced by memberships in study sections, advisory groups, prestigious professional societies, etc., and awards, prizes, and other notable academic achievements. Recognition for superior accomplishments in a clinical specialty and leadership role in health system.

These guidelines are to be used in conjunction with the definitions and examples of scholarship and excellence provided in the College of Medicine Appointment, Promotion, and Tenure procedures.

**Table B**



## Academic Clinician/Scientist (Special Title Series)

Assistant Professor	Associate Professor	Professor
Past M.D./D.O. and postgraduate training with important commitment to clinical service and academic community. Board eligibility or certification, or equivalent.	Excellent service as Assistant Professor at UKCOM (or its equivalent elsewhere) with record of excellence in clinical and academic community service and teaching. Board certification, or equivalent.	Excellent service as Associate Professor at UKCOM (or its equivalent elsewhere) with outstanding accomplishments as clinician and teacher, as well as service to academic community. Board certification, or equivalent.
<p>Evidence of a high level of clinical competence in a clinical area. Use of innovative approaches, technologies, instrumentation, or systems of patient care in a clinical discipline.</p> <p>Recognition or potential for recognition by peers and patients as an outstanding clinician. Evidence of a developing leadership role in a clinical service in health system. Active participation in local, regional, or national professional organizations.</p>	<p>Emerging regional or national reputation as a clinical authority in a clinical (generalist or specialist) field. Introduces and evaluates new, innovative approaches locally and develops standards for patient care. Has collaborative role in clinical trials or clinical investigation.</p> <p>Emerging reputation for excellence in clinical practice.</p>	<p>Development or introduction and evaluation of new approaches to patient care. Ongoing collaborative role in clinical trials or clinical investigation.</p> <p>Development of national or international reputation for excellence in clinical practice, and as an authority in a clinical field.</p> <p>Significant leadership role in provision of clinical care in health care system.</p> <p>Leadership role in professional societies, with active participation in development of the societies' programs or policies. Academic recognition by award of honors by professional societies.</p>
Recognition or potential for recognition by medical students, residents, fellows, other learners, and peers for excellence in clinical teaching.	Recognition as an excellent clinical teacher at regional level. Service as role model of a practicing physician for students, residents, and fellows.	Recognition as an outstanding clinician teacher. Leadership role and significant contributions to teaching programs at local, regional, and national levels. Evidence of service as effective role model and mentor for medical students, trainees, and colleagues.
<p>Potential for scholarly communications, such as clinical observations, case reports, analytic studies, reviews, chapters, clinical manuals, and treatment guidelines.</p> <p>and/or</p> <p>Dissemination of clinical knowledge, techniques, and technologies through syllabi, video and audio learning aids, computer-based material, or professional communications.</p>	Continuing publication of important reviews, analytic studies, chapters, and educational textbooks as well as clinical observations. Scholarly activity may be demonstrated in a variety of forms including written form, audio and video learning aids, and computer-based material. Evidence that candidate has stimulated trainees and colleagues to prepare clinical papers and reviews.	Publications of major reviews, chapters, and educational text books, as well as clinical observations and analytic studies. Important impact on and participation in development of national standards for patient care. Continuing dissemination of clinical expertise in written form, by audio and video learning aids, or through computer-based material.
<p>These guidelines are to be used in conjunction with the definitions and examples of scholarship and excellence provided in the College of Medicine Appointment, Promotion, and Tenure procedures.</p> <p style="text-align: center;"><b>Table C</b></p>		

## Academic Medical Educator (Special Title Series)

Assistant Professor	Associate Professor	Professor
Ph.D. or post M.D./D.O. and postgraduate training with important commitment to teaching and service of clinical or administrative nature.	Excellent service as Assistant Professor at UKCOM (or its equivalent elsewhere) with record of excellent teaching and clinical service.	Excellent service as Associate Professor at UKCOM (or its equivalent elsewhere) with important accomplishments in teaching and clinical service.
Recognition or potential for recognition by peers and students as an excellent basic science or clinical teacher for medical students, graduate students, and other trainees.	Continuing excellent and high-quality contributions to the teaching of medical students, residents, graduate students, and other trainees. Recognition of excellence which may be available from formal peer evaluations, student evaluations, or teaching awards. Impact and value of teaching should be recognized beyond the local level, as demonstrated by invitations to teach in other hospitals, other medical schools, programs of professional societies, or continuing medical education courses.	Recognition for being among the very best educators for medical students, residents, graduate students, and other trainees. Impact of superb teaching should be apparent locally and nationally, and may be demonstrated by invitations to teach in specialty societies and national continuing medical education courses and by invitations to serve as visiting professor or named lecturer. Impact may also be recognized by success or stature of trainees as determined by subsequent chiefs of service or peers.
Potential for publication of clinical observations, reviews, or analytic studies in peer-reviewed journals that may contribute significant new knowledge and/or organize, synthesize, and convey existing knowledge in a way that enhances the practice of medicine. Publications should describe state-of-the-art clinical practice. and/or Potential for development of teaching materials, including new curriculum offerings, educational programs, textbooks, syllabi, computer programs, or videotapes that significantly improve the method or quality of instruction in the College.	Continuing publication of clinical observations, reviews, or analytic studies in peer-reviewed journals that are recognized as authoritative and that influence the practice of clinical or administrative medicine. and/or Continuing development of teaching materials, including new curriculum offerings, educational programs, textbooks, syllabi, computer programs, or videotapes that make a unique contribution to the quality and method of teaching a given subject throughout the College of Medicine and beyond the local community.	Publication in peer-reviewed journals of analytic clinical studies, comprehensive clinical reviews, or textbooks and chapters that are recognized as exhibiting important influence on the practice of medicine nationally; may serve as editor of textbooks or journals. and/or Development of original teaching materials, such as new curriculum offerings, educational programs, syllabi, video materials, or computer programs that are widely used not only locally but throughout the country.
Potential for, or evidence of, a high level of competence.	Excellent reputation inside and outside UK medical community as authority in area of expertise. This may be demonstrated by patient referrals from outside UK area, invited visiting lectureships, and membership in professional societies.	Acknowledged leader in the area of expertise. National reputation for superior accomplishments within area of expertise. This may be demonstrated by invitation to membership or fellowship in prestigious professional societies, other academic recognitions or awards, and leadership role in department or hospital as well as testimonials of distinguished practitioners in same field.
<p>These guidelines are to be used in conjunction with the definitions and examples of scholarship and excellence provided in the College of Medicine Appointment, Promotion, and Tenure procedures.</p> <p style="text-align: center;"><b>Table D</b></p>		

# Research Faculty Member (Research Title Series)

Assistant Professor	Associate Professor	Professor
Several years after M.D./D.O. or Ph.D. with important commitment to biological or behavioral research.	Excellent service as Assistant Professor at UKCOM (or its equivalent elsewhere) with significant time commitment and record of excellence in biological or behavioral research.	Excellent service as Associate Professor at UKCOM (or its equivalent elsewhere); outstanding contributions to biological and behavioral research.
Contributions or potential for contributions to refereed, substantive publications, including case reports or reviews.	Continuing substantive contribution to excellent research that is published.	Continuing contribution to publication of outstanding, original, and innovative research findings.
Potential for participation in research training of colleagues.	Active and effective participation in research training in assigned laboratory.	Active and effective participation in research training in assigned laboratory.
Potential for high level of scientific competence in specialty area as evidenced by candidacy or membership in elected professional scientific organizations.	Established reputation as an investigative contributor outside UK medical and scientific community, and membership in professional societies.	National reputation within his or her field as evidenced by memberships in study sections, advisory groups, prestigious professional societies, etc., and awards, prizes, and other notable academic achievements.
<p>These guidelines are to be used in conjunction with the definitions and examples of scholarship and excellence provided in the College of Medicine Appointment, Promotion, and Tenure procedures.</p> <p><b>Table E</b></p>		

## Clinical Faculty Member (Clinical Title Series)

Assistant Professor	Associate Professor	Professor
M.D./D.O., or other professional clinical degree, with important commitment to clinical service and academic community. If M.D./D.O., completion of postgraduate training required. Board eligibility or certification, or equivalent.	Excellent service as Assistant Professor at UKCOM (or its equivalent elsewhere) with significant time commitment and record of excellence in clinical and academic community service and teaching. Board certification or equivalent.	Excellent service as Associate Professor at UKCOM (or its equivalent elsewhere) with important accomplishments as clinician and teacher, as well as service to academic community. Board certification or equivalent.
Evidence of a high level of clinical competence in a clinical area. Use of innovative approaches, technologies, instrumentation, or systems of patient care in a clinical discipline. Recognition or potential for recognition by peers and patients as an outstanding clinician.	Emerging reputation as an authority in a clinical field. Introduces and evaluates new, innovative approaches locally and develops standards for patient care. Has collaborative role in clinical trials or clinical investigation.	Development or introduction and evaluation of new approaches to patient care. Ongoing collaborative role in clinical trials or clinical investigation. Development of national reputation for excellence in clinical practice, and as an authority in a clinical field.
Evidence of a developing leadership role in a clinical service in department or hospital. Active participation in local, regional, or national professional clinical organizations.	Development of greater than local reputation for excellence in clinical practice.	Significant leadership role in provision of health care. Leadership role in professional societies, with active participation in development of the societies' programs or policies. Recognition for excellence by professional societies.
Recognition or potential for recognition by medical students, residents, fellows, continuing medical education attendees, and peers for excellence in clinical teaching.	Continuing evidence of peer recognition as an excellent clinical teacher at regional level. Service as role model of a practicing physician for students, residents, and fellows.	Recognition as an outstanding clinical teacher. Leadership role and significant contributions to teaching programs at local, regional, and national levels. Evidence of service as effective role model and mentor for medical students, trainees, and colleagues.

These guidelines are to be used in conjunction with the definitions and examples of scholarship and excellence provided in the College of Medicine Appointment, Promotion, and Tenure procedures.

**Table F**

## Medical Educator Faculty Member (Adjunct Series)

Assistant Professor	Associate Professor	Professor
Terminal degree with important commitment to teaching service. If M.D./D.O., postgraduate training.	Excellent service as Assistant Professor for a substantial time at UKCOM (or its equivalent elsewhere) with record of excellent teaching and service.	Excellent service as Associate Professor at UKCOM (or its equivalent elsewhere) with outstanding accomplishments in education.
Recognition or potential for recognition as excellent teacher for medical students, residents, graduate students, or other trainees.	Continuing excellent high-quality contributions to the teaching mission. Recognition of high quality may be available from formal peer evaluation, student evaluations, or teaching awards. Impact and value of teaching should be recognized beyond the local level, as demonstrated by invitations to teach in other hospitals, other medical schools, programs of professional societies, or continuing medical education courses, and excellent evaluations of that teaching.	Recognition for being an outstanding educator of medical students and residents. Impact should be apparent locally and nationally as may be demonstrated by invitations to teach in specialty societies and national continuing medical education courses and by invitations to serve as visiting professor or named lecturer. Impact also may be recognized by success or stature of trainees as determined by subsequent chiefs of service or peers.
Evidence of a high level of competence in chosen specialty.	Continued evidence of high level of competence in chosen area of emphasis with emerging regional or national reputation that may be demonstrated by referrals from outside UK area, invited visiting lectureships, and membership in professional societies.	Acknowledged leader in area of emphasis. National reputation for superior accomplishments within specialty as demonstrated by invitation to membership or fellowship in prestigious professional societies, other academic recognitions or awards, and leadership role in department or hospital, as well as testimonials, of distinguished practitioners in same field.

These guidelines are to be used in conjunction with the definitions and examples of scholarship and excellence provided in the College of Medicine Appointment, Promotion, and Tenure procedures.

**Table G**

## Community-Based Faculty Member (Voluntary or Adjunct Series)

Assistant Professor	Associate Professor	Professor
Evidence of potential to perform as clinical instructor with important commitment to the academic mission of the UKCOM. Board eligibility or certification or equivalent, as determined by the department.	Excellent service for a substantial time as Assistant Clinical Professor at UKCOM (or its equivalent) with significant commitment to and record of excellence in clinical and academic community service and teaching. Board certification.	Excellent service as Associate Professor at UKCOM (or its equivalent) with important accomplishments as clinician and teacher, as well as contributions to academic mission. Board certification.
Involvement in teaching or mentoring of medical students, residents, and other health professional students. Recognition by medical education attendees and by peers for excellence in clinical teaching in hospital or health care setting.	Continuing involvement in UK student teaching or mentoring for a specified number of hours per year as determined by the Faculty of Medicine; continuing responsibility for residency and fellowship training programs; or both. Continuing evidence and peer recognition of being an excellent clinical teacher at regional and local levels. Recognized as role model of a practicing physician for students, residents, and fellows.	Continuing involvement in UK student teaching, mentoring or both for a specified number of hours per year as determined by the Faculty of Medicine continuing responsibility for residency and fellowship training programs, or both. Recognition as a distinguished clinical teacher of students, residents, fellows, and continuing medical education participants. May have developed innovative teaching programs at local, regional, and national levels. Evidence of service as effective role model and mentor for medical students, trainees, and colleagues.
Developing local reputation as excellent in clinical practice. Recognition by peers and patients as an outstanding clinician. May have an administrative role in health care setting or hospital. Should participate in local, regional, or national professional clinical organizations.	Development of regional reputation as excellent in clinical practice. May introduce and evaluate new, innovative approaches locally and develop standards for patient care. May have collaborative role in clinical trials or clinical investigation. May have assumed leadership role in health care setting, hospital, or regional professional organizations. May participate in programs of national societies.	National reputation for outstanding accomplishment within specialty. May have ongoing collaborative role in clinical trials or clinical investigations. May help set standards of practice. May have leadership role in provision of clinical care and support of teaching programs in hospital or health care system. May have leadership role in professional societies with active participation in development of societies' programs or policies. Academic recognition by awards or honors from professional societies.

These guidelines are to be used in conjunction with the definitions and examples of scholarship and excellence provided in the College of Medicine Appointment, Promotion, and Tenure procedures.

**Table H**

## **Accountable Leadership in the Appointment and Promotion Process**

The duties of a Department Chair are varied and complex. However, it is recognized that one of the primary academic leadership duties of the Chair is to help faculty members achieve their academic career goals, resulting in mutual benefit to the Department, the faculty member, the Chair, and the College. Because promotion (and tenure) for College of Medicine faculty members rests upon demonstrating excellence and scholarship within the faculty member's title series, it is the responsibility of the Chair to ensure that recruitment of faculty members is consistent with the goals and mission of the College and the Department, and that appropriate time and support are provided to all faculty members within the scope of their job duties. Further, each faculty member's time and effort should be accurately reflected on the DOE form.

In a large department, the Chair may delegate some of this activity to others. However, the Chair retains responsibility for the success of faculty members in his or her department. The annual performance of the department chair should include measures of the success or failure rate for faculty promotion and tenure where applicable, and retention of faculty members in the department. Specifically, Chairs should be evaluated annually on how well promised resources, including time, were provided to faculty members in their departments. Furthermore, the formal performance evaluation of Department Chairs should include measures of the academic output of their faculty members, published papers and grants, clinical productivity, educational efforts, and service activities.

### **Conclusion**

The University of Kentucky College of Medicine is an extraordinary institution with a rich history despite its relatively young age, a unique and profoundly important mission within our commonwealth, and exceptional potential. The greatest of its many strengths, is the people - faculty members, students, residents, and staff - of the College. This document will, we hope, serve as a tool to help the college achieve even greater things by improving our procedures for recruiting, appointing, evaluating, and promoting our faculty members.

### **University Regulations**

The reader is referred to University of Kentucky Administrative Regulations regarding appointment, promotion, and tenure including AR 2:1-1, AR 2:1-2, AR 2:2-1, AR 2:2-2, AR 2:3, AR 2:4, AR 2:5, AR 2:6; Governing Regulations Part X page X 1-16.

## Notes



## Notes

## Notes

## APPENDIX I

### Teaching Portfolio (University System)

#### A. Teaching Evaluation

The teaching portfolio is composed of a variety of materials related to teaching and advising collected and maintained by the faculty member. It serves as an instrument for review, evaluation, and improvement of teaching and advising. The teaching portfolio enables faculty to describe their teaching assignments, methods, and circumstances, which - of necessity - vary widely in a complex university environment. The portfolio concept encourages faculty to submit a variety of materials that describe, explain, and assess teaching, advising, and related activities. Just as publications, extramural grants, and peer evaluations testify to the nature and quality of a faculty member's research, materials contained in the portfolio document the nature and quality of a faculty member's teaching and advising.

The following items are required for documentation of teaching:

1. A brief reflective statement by the instructor which describes teaching and advising assignments, sets forth philosophies or objectives, and provides whatever information may be necessary to provide colleagues with a context for interpreting and understanding the other evaluative information.
2. For each semester under review, a list of all courses taught, with the title, course number, number of students enrolled, and - for each different course - a short description.
3. Representative course syllabi.
4. A quantitative and qualitative summary of student evaluations.

The following items are suggested but not required:

1. Materials prepared for teaching activities, such as assignments, exercises, handouts, examinations or other assessment materials.
2. Indicators of student learning: such as examples of graded work; reference to students who succeed in advanced courses of study and/or who earn academic awards; accomplishments of former students; evident of learning by use of pre-and post-testing procedures.
3. Evidence of peer regard: colleague class visitation reports; peer evaluations of course content, materials, assignments, and practices.

4. Documentation of teaching-related activity: curriculum and course development; consulting work; innovative teaching methods; participation in teaching programs of other units or at other universities.

5. Evidence of recognition: teaching related grants; publications related to teaching and advising; teaching awards and honors.

6. Enumeration and description of work with individual students: supervision of Honors students, graduate students, independent or experiential learning; consultation with students outside the department.

B. Advising Evaluation

Where advising is a portion of the faculty member's usual assignment, evaluation should include the extent of advising and its quality along with an indication of the grounds for evaluation.

The portfolio must include the following items:

1. A section of the reflective statement which describes the nature and extent of advising and any other information necessary to provide colleagues with a context for evaluation of advising.

2. For each semester under review, the number and level of undergraduate and graduate program advises, and a list of masters and doctoral students for whom the instructor served as a member of a thesis or advisory committee.

3. A list of those students for whom the professor served as preceptor, or director of a thesis or dissertation.

4. Summary of activities associated with student organizations and service on student-faculty committees.

5. Student evaluation of advising.

The following item is suggested but not required:

Evaluation of advising by unit colleagues or administrators.

## POLICIES and PROCEDURES on TERMINAL REAPPOINTMENT

### Timing

Consideration of terminal reappointment is one outcome of the ordinary process of reappointment review. Having consulted with the appropriate department faculty, and having conducted an independent examination of the performance record of the faculty member under review for reappointment, the chair/director may determine that the individual's performance fails to meet the department's expectations for satisfactory progress toward tenure. Rather than recommend the individual's reappointment for another one- or two-year time period, the chair/director may decide not to recommend reappointment and to instead proceed with a review process that may conclude with the issuance of a terminal reappointment contract.

Action on a recommendation to offer a terminal reappointment contract is time-intensive - the full process may extend not only through a preliminary reappointment review and subsequent terminal reappointment process at the unit and college levels, but may also require additional consideration at the level of the Provost. Therefore, to ensure that the terminal reappointment process is concluded and a terminal contract is signed by the faculty member under review no later than the last day of the extant appointment contract, the chair/director shall begin the unit-level reappointment review well in advance of the end-of-appointment date. By University regulation, for individuals who have held a regular, full-time faculty appointment for two or more years, we are not permitted to terminate employment without providing to the candidate under review with notice of termination one year in advance. Failure to provide sufficient notice will postpone the option of a terminal reappointment year beyond the next academic year.

### Responsibilities of the Department Chair/Director

(1) Prepare a reappointment dossier and invite the appropriate department faculty (and any director of any multidisciplinary research centers or institutes, or graduate centers with which the individual is associated), to review its contents and offer opinions on the matter of reappointment. Consult the following matrices for information on the contents of the reappointment dossier and the cohort of appropriate faculty:

Consultation and Written Judgments [www.uky.edu/Regs/files/ar/ar007.pdf](http://www.uky.edu/Regs/files/ar/ar007.pdf)

Dossier Contents [www.uky.edu/Regs/files/ar/ar008.pdf](http://www.uky.edu/Regs/files/ar/ar008.pdf)

The initial consultation on the matter of reappointment does not require that the consulted faculty submit written judgments.

(2) After considering the opinions of the consulted faculty, the chair/director may:

- elect to recommend reappointment of the faculty member under review and send the reappointment dossier along with the chair/director's recommendation letter, to the dean, or,
- elect to not recommend reappointment, but instead to recommend terminal reappointment, and seek the **written judgments** of the appropriate faculty on the chair/director's decision not to recommend reappointment the faculty employee under review.

Where disagreement occurs between the chair/director and the consulted educational unit faculty concerning a recommendation, the educational unit administrator shall report this difference with adequate documentation to the dean and also notify the consulted unit faculty regarding such action.

(4) After considering the submitted written judgments and opinions of the consulted faculty, the chair/director may:

- elect to recommend to the dean that the faculty employee under review be issued a terminal reappointment contract. The dossier used to conduct the initial reappointment review, the written judgments of the consulted faculty and the chair/director's written recommendation shall be forwarded to the dean.
- elect to recommend reappointment of the faculty employee under review, and shall forward to the dean the reappointment dossier, and the written judgments submitted by the consulted faculty, and the chair/director's written recommendation.

#### Responsibilities of the Dean

- (1) Before acting on a recommendation to issue a terminal reappointment contract, the dean shall consult with and obtain a written recommendation from, the college advisory committee, or other elected faculty governance body identified in the college rules.
- (2) The Dean prepares a letter to the faculty member providing notice that the individual is receiving a terminal reappointment. Dean asks faculty employee to sign the terminal reappointment contract and return no later than June 30 [date prior to end of 1 year from date of initial hire]. It is best for the dean to send this letter to the faculty employee several months ahead of time (e.g., January or March) to allow time for the decision to reach the June Board of Trustees meeting.
- (3) If a dean disapproves a chair/director's recommendation for reappointment at the rank of Instructor, Assistant Professor or Associate Professor and offers a terminal reappointment instead, but the tenured members of the educational unit reaffirm their written judgments by majority vote and the chair reaffirms his or her positive recommendation for reappointment, the dean shall request of the Provost that the matter be referred to the pertinent Academic Area Advisory Committee.

(c) Delay of Probationary Periods

A probationary regular, special, extension, or librarian title series faculty member who becomes the parent of a child or children by birth, adoption, or guardianship, shall automatically be granted a one-year delay of the probationary period by the dean of the respective college. A faculty member who qualifies for this automatic delay of the probationary period shall submit to his or her department chair a signed and completed Faculty Tenure Delay Form (TDF) and supporting documentation, if required. A faculty member may waive the automatic delay only by completing the waiver section of the TDF. Upon receipt of the TDF, the chair shall prepare and submit to the dean and the Provost a revised Notice of Academic Appointment reflecting the change in probationary dates, along with the completed TDF and supporting documentation.

In addition, a probationary faculty member who assumes significant responsibilities for the care of a relative (see GR X.A.1) or domestic partner may request consideration of a one-year delay of probationary period based on extenuating circumstances. These extenuating circumstances for a delay related to significant care responsibilities must be clearly beyond those experienced by most probationary faculty. Documentation explaining the extenuating circumstance of the care-giving situation shall accompany the request. This request shall be routed through the normal administrative channels and will be considered for approval by the Provost.

This provision is available to all probationary non-tenured faculty upon their official start date and up until the anniversary of their official start date in the year in which their tenure review is scheduled to occur.

Notifications of all delays shall be made by the faculty member to his or her department chair as soon as possible after the qualifying event or circumstances (i.e., birth, adoption, guardianship, or assumption of significant care responsibilities), but in no case later than six (6) months from the time of the qualifying event or circumstances or no later than the last day of the fifth year of the probationary period; whichever comes first.

The delay shall not be granted more than two (2) times within the probationary period of a faculty member. The faculty member shall be reviewed for tenure under the same academic standards as a candidate who has not extended the probationary period and shall not be penalized or adversely affected by the delay of the probationary period. Further, extension years shall not be counted towards sabbatical. A delay of the probationary period in no way limits the right of the University to terminate a probationary appointment prior to the time of the mandatory review for probation and tenure, should circumstances warrant such action.

**UNIVERSITY OF KENTUCKY  
DELAY OF PROBATIONARY PERIOD PROCEDURES**

<b>RESPONSIBILITY</b>	<b>ACTION</b>
<b>A. Procedures for requests based on becoming a parent (automatic extension)</b>	
Faculty member	<p>Receive automatic 1-year extension, unless waive this right. Waive by checking the box on the Faculty Tenure Delay Form (TDF).</p> <p>Note: Automatic delay shall not be granted more than two (2) times within the probationary period.</p>
Faculty member (waive)	Notify the appropriate department chair and complete the appropriate sections on the Faculty Tenure Delay Form.
Department Chair	<p>Prepare a revised Notice of Academic Appointment, adjusting the end-of-probation date and advise the faculty member of the revised date on which his or her tenure review will be initiated.</p> <p><u>Or</u> if a waiver, in writing, acknowledge receipt of the waiver.</p> <p>Forward to Dean's office the Faculty Tenure Delay Form and unless a waiver has been requested the signed Notice of Academic Appointment.</p>
Dean's Office	<p>Forward copies of request (i.e., TDF) and acknowledgements and the signed Notice of Academic Appointment to the Provost Office.</p> <p>Maintain copy in the faculty member's official personnel file.</p>
Provost's Office	<p>Keep a copy in the Provost file.</p> <p>Annually monitor practice to ensure that faculty members are not penalized in any way for requesting and receiving extensions of the probationary period.</p>
<b>B. Procedures for requests based on significant responsibilities for the care of a relative or domestic partner:</b>	
Faculty member	<p>Check the appropriate box on the Faculty Tenure Delay Form (TDF).</p> <p>Attach relevant documentation explaining the extenuating circumstance of the care-giving situation (which must be clearly beyond those experienced by most probationary faculty).</p> <p>Submit to appropriate department chair.</p>
Department Chair	<p>Review request and provide written recommendation of approval, complete Notice of Academic Appointment and submit to the dean.</p> <p>If denied, in writing notify the dean with justification.</p>
Dean's Office	<p>Acknowledge request in writing, provide decision and, if approving the request, advise faculty member of the date on which his or her tenure review will be initiated.</p> <p>Forward copies of request (i.e., TDF), acknowledgements, the TDF and if approved the signed Notice of Academic Appointment to the Provost Office.</p> <p>Maintain copy in the faculty member's official personnel file.</p>
Provost's Office	<p>Keep a copy in the Provost file.</p> <p>Annually monitor practice to ensure that faculty members are not penalized in any way for requesting and receiving extensions of the probationary period.</p>



## College of Medicine Rules of Procedures 100

MEMORANDUM

TO: Deans

FROM: Kumble Subbaswamy, Provost

RE: Revised Faculty Temporary Disability Leave Policy

DATE: January 14, 2010

I am enclosing a copy of the revised Faculty Temporary Disability Leave (TDL) Policy. Please distribute a copy of this policy to the appropriate individuals within your College. This revised policy was reviewed, discussed and endorsed by the University Senate during the December 2009 meeting.

Please note, faculty TDL that is granted by the Provost must be recorded in the Faculty Data Base.

enclosure

## **FACULTY TEMPORARY DISABILITY LEAVE**

### **Taken During the Assignment Period**

**Revised November 2009**

#### **Preface**

Faculty members are independent professionals without prescribed working hours. For some, the work period fits a conventional work day, five days a week. For most, the work day is more flexible but complex. Faculty members apportion their time among a variety of duties, some of which, like teaching, typically require prescribed hours on campus, albeit time in the classroom and office that vary considerably from semester to semester. Other faculty duties, among them scholarly, service and clinical duties, may require long periods of time away from campus or irregular hours in laboratory, clinic or hospital. Under these circumstances, where the work day is ill-defined and most of the assigned duties are self-directed, the University policy on Temporary Disability Leave (TDL) for staff would not work for faculty.

Unlike staff, faculty do not accrue sick days as a function of time served. There is no "bank of sick days" into which faculty members deposit sick days for time served and to which they may turn in times of illness. Instead, under the terms of Governing Regulation (GR X.B.2(ii), page 13):

Temporary Disability Leave (TDL) may be granted to faculty members by the Provost. Eligible faculty members who are totally disabled are entitled to six (6) months' TDL with pay. TDL with pay for more than six (6) months requires approval by the Board of Trustees.

All this said, it is important that faculty members report their periods of sickness and have TDL officially approved, in the manner enumerated below, to ensure that they may be eligible for Long-Term Disability in the event that an illness, however mild at its onset, proves catastrophic. Of course, reporting illness also ensures that faculty responsibilities, notably teaching, are covered.

#### **Report of Illness and Granting of Temporary Disability Leave**

To ensure that faculty responsibilities are covered and TDL is granted during periods of illness, faculty members must notify their unit administrator at the onset of an illness. In order to make the granting of TDL more efficient, the Provost has delegated the authority of granting TDL to deans and unit administrators, as described below, for short-term situations (up to four weeks).

1. If you become ill for a time period of one day to two weeks (10 week days), notify your department chair/director; s/he will ensure that this paid leave is documented in the appropriate file.
2. If you remain ill beyond two weeks, notify your department chair/director, who will notify the dean of the college on your behalf. The dean will ensure that this paid leave is documented in the appropriate file.
3. TDL for illness over four weeks (21 week days), may only be granted by the Provost upon the recommendation of the dean.

4. Faculty members whose illness prevents them from fulfilling their duties beyond six months from the onset of the illness, and who have been on approved sick leave with pay for a six-month period, are eligible to apply for Long-Term Disability.
5. Leave for childbearing purposes shall be treated as any other paid TDL. Approved leaves for childbearing purposes may begin at the time that the appropriate health care provider advises the faculty member to cease working, and usually do not exceed 30 working days or six calendar weeks.
6. Family Medical Leave (FML)\* -- Any faculty employee who has been a University employee for 12 months (not necessarily consecutive months, but within the last 7 years) and has worked at least 1,250 hours during the previous 12 month period may take up to 12 weeks of unpaid leave for a serious health condition involving the employee or a qualified family member during any 12 month period for any or all of the following reasons:
  - a. Because of the birth of a child of the employee and in order to care for that child;
  - b. Because of the placement of a child with the employee for adoption or foster care;
  - c. In order to care for a spouse, child, or parent of the employee who has a serious health condition;
  - d. Because of a serious health condition that makes the employee unable to perform the functions of his/her job; or
  - e. In order to care for a service member with a serious illness or injury if the employee is the spouse, son, daughter, parent, or next of kin of the service member.
  - f. Because of a qualifying exigency arising out of the fact that the employee's spouse, son, daughter, or parent is on active duty in the National Guard or Reserves (or has been notified of an impending call or order to active duty) in support of a contingency operation.
7. A faculty member's available paid leaves shall be used concurrently with FML. The available leave shall be used as applicable under Governing Regulation (GR) X: Regulations Affecting Employment and Administrative Regulation II-1.1-7: Faculty Assignment and Vacation Leave Policy. Tenure-eligible faculty employees approved for FML may be eligible for a delay in the probationary period in accordance with GR X.B.1(b).
  - a. Balances of TDL and vacation leave, as applicable, shall be used prior to the employee being placed on FML without pay.
  - b. Workers' Compensation shall be designated as FML, as applicable, and shall run concurrently with FML.
  - c. There is a cumulative 30-day annual limit for the amount of TDL an employee may take for qualified family members.

\* Notes:

The 12 month period begins on the first day of the approved FML leave.

The Family and Medical Leave Act has been amended to provide an eligible employee who is the spouse, son, daughter, parent, or next of kin the ability to take up to 26 workweeks during a 12 month period to care for a covered service member with a serious illness or injury. The leave shall only be available during a single 12-month period.

After the establishment of a qualifying event, the dean must designate whether the FML days are paid or unpaid. The number of paid days depends on the available vacation leave and/or the applicable temporary disability leave days. If the faculty member is eligible for vacation leave or temporary disability leave, either or both of these paid leaves must be used, if the qualifying event is an applicable use of that leave.

Requesting and granting FML is applicable only during the actual assignment period for faculty who are on 9-, 10-, and 11-month contracts.

Non-tenured faculty may apply for an extension of the probationary period of 26 weeks (six months) beyond the date given on the original Notice of Primary Academic Appointment and Assignment Form if they take FML of 6 weeks or more. If the total FML, during the probationary period, exceeds 26 weeks, the faculty may apply for an extension of one year beyond the date given in the original Notice of Primary Academic Appointment and Assignment. GR X.B.1(b)

See additional details about FMLA in the UK Human Resources Policy and Procedures: 88.0: Temporary Disability Leave and 82.0 or online at: <http://www.uky.edu/HR/policies/>

December 15, 2008

MEMORANDUM

TO: Deans

FROM: Kumble R. Subbaswamy, Provost

SUBJECT: Sabbatical Leave and Vacation Leave Credit

The recently revised policy on faculty vacation leave in AR II-1.1-7 does not explicitly address the allocation of vacation leave in a year during which a faculty person, who is eligible to earn vacation leave, is on approved sabbatical leave. In the remainder of this memorandum I provide an interpretation of AR II-1.1-7.

With the granting of sabbatical leave, the University releases a faculty person from his or her full complement of duties (e.g., some combination of instruction, service and clinical responsibilities), thereby affording the faculty person the time to pursue a targeted set of professional pursuits, typically research-related, for the mutual benefit of the individual and the University. A sabbatical leave is unique in this regard – a faculty person, while on approved sabbatical leave, is pursuing in earnest a project of demonstrable value to the University.

Therefore, ten-, eleven- and twelve-month faculty persons on approved sabbatical leave are entitled to a proportion of their annual vacation allotment commensurate with the percentage of their regular (annual) salary earned during the sabbatical leave period. By this accounting, faculty on a full-year at half-pay sabbatical leave shall receive 11 days of vacation leave, while those faculty on a half-year at full-pay sabbatical leave shall be credited with 22 days of vacation leave. Vacation leave, if used, shall be taken in the assignment period in which it is credited, or the unused days shall be forfeited.

Please distribute this memorandum to those faculty persons in your college who are eligible to earn vacation leave.

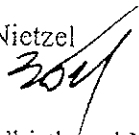


UNIVERSITY OF KENTUCKY

Office of the Provost  
106 Gillis Building  
Lexington, KY 40506-0033  
(859) 257-2911  
Fax: (859) 257-1333  
Email: provost@email.uky.edu  
www.uky.edu

## MEMORANDUM

To: Deans

From: Michael T. Nietzel  
Provost 

Subject: Faculty Childbirth and Maternity Leave

Date: November 1, 2002

President Todd has recently approved the expanded application of our sick leave policy in childbirth and adoption instances, making a longer leave period available to parents.

### Childbirth

Up to six weeks (30 working days) of (paid) sick leave will be available to both mothers and fathers. This leave has been available to mothers but has now been extended to fathers. The probation period or "tenure clock" may be extended upon application consistent with the terms of AR II-1.1-12.

### Adoption

Up to six weeks (30 working days) of (paid) sick leave will be available to both parents. The probation period or tenure clock may be extended upon application consistent with the terms of AR II-1.1-12.

As is the case in other sick leave use, the department must arrange to cover the classes for a faculty colleague on leave. We anticipate prospective parents will give as much notice as is reasonably possible to the department chair so teaching assignments can be allocated within the department.

kh

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# policies

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## Human Resources Policy and Procedure Number 19.0: Nepotism Revision 08/21/07

### Purpose

The University recognizes the advantage of employing members of family of current employees. Employment, for purposes of this policy, includes regular, temporary, student work-study and graduate assistant programs.

### Policy

Relatives are permitted to work in the same area with the following limitations.

- 1) Members of the Board of Trustees, except those elected to the Board as faculty, staff or student, and relatives of any member of the Board are ineligible for employment at the University.
- 2) No relative of the President shall be employed at the University.
- 3) No relatives of the Provost, an Executive Vice President, a Vice President, an Associate Provost, or an Associate Vice President shall be employed at the University in their respective administrative areas.

Note: Waiver of the above may be permitted by the Board of Trustees on a temporary basis, not to exceed two years, when it is otherwise impossible to fill a position with a fully qualified person. The same individual shall not be eligible for reappointment under the terms of this exception unless approval is given by the Board of Trustees.

- 4) Relatives of administrative officers, faculty and staff members may not be appointed to any position over which the respective officer, faculty or staff member may have a supervisory line of authority or exercises supervisory line of authority.

Definition of relatives: Parents, children, husbands, wives, brothers, sisters, brothers-in law, mothers-in law, fathers-in law, uncles, aunts, nieces, nephews, sons-in law and daughters-in law and half- or step-relatives in the same relationships.

- 5) Employment of relatives within the same department or division shall be approved by the Provost or the appropriate Executive Vice President.

Note: The University's Governing Regulations further define certain parameters of this policy.

- 6) If the marriage or transfer of a staff employee creates a violation of this policy, one of the individuals shall resign or transfer by the end of the fiscal year or within six months from the date of marriage or transfer, whichever is the longer period. If neither party resigns or transfers, the last hired individual shall be separated from employment.

- 7) The University strongly urges those in positions of authority not to engage in conduct of an amorous or sexual nature with a person they are, or are likely in the future to be, in a position of evaluating. The existence of a power difference may restrict the less powerful individual's freedom to participate willingly in the relationship.

If one of the parties in an apparently welcomed amorous or sexual relationship must evaluate the performance of the other person, the relationship must be reported to the dean, department chair or supervisor so that suitable arrangements can be made for an objective evaluation of the student or employee.

### Process

- 1) The department head is responsible for verifying that employment or transfer within the department shall not



cause a violation of this policy.

2) Requests for waivers of this policy allowed under the Governing Regulations shall be forwarded to the Associate Vice President of Human Resources for processing through the appropriate channels to the Board of Trustees.

**Previous Version** (Revision Date - 08/15/06)

**University of Kentucky** - An Equal Opportunity University  
Human Resources - 115 Scovell Hall - Lexington, KY 40506-0064  
Phone: (859) 257-9555 - Fax: (859) 323-8512  
Questions/Feedback: HR | HR Site  
About Human Resources  
Last Modified: March 24, 2009 | Off-site Link Disclaimer

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**NOTICE**  
**INSPECTION OF THE PUBLIC RECORDS OF**  
**THE UNIVERSITY OF KENTUCKY**

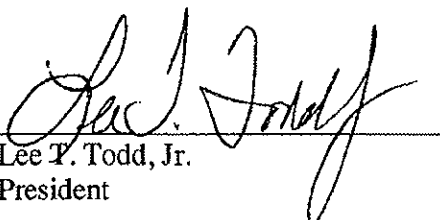
Pursuant to KRS 61.870 to 61.991, the public is notified that, as provided herein, the public records of the above named Agency of the Commonwealth of Kentucky are open for inspection by any person on written application.

1. The principal office of the University is located at 301 Main Building, Administration Drive, Lexington, Kentucky, 40506-0032.
2. Application forms for the inspection of the public records of this agency are available in Room 301B of the Main Building and will be furnished on request to any person by an employee in that office. Application forms may be obtained in person in Room 301B, Main Building, by mail at the address listed above, or by FAX at (859) 323-1062. Office hours are 8:00 a.m. to 4:30 p.m., Monday through Friday, each week, except holidays.

Requests for public records may also be made by written letter, fax, or electronic mail without the use of an application form. No telephone requests for records will be accepted. Please direct any email requests to my assistant at [ukopenrecords@email.uky.edu](mailto:ukopenrecords@email.uky.edu).

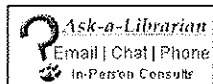
3. Copies of written material in the public records of this agency will be furnished to any person requesting them for non-commercial purposes on payment of a fee of ten cents (10¢) a page; copies of non-written records (photographs, maps, material stored in computer files or libraries, etc.) for non-commercial purposes will be furnished in standard format on request, on payment of charge equal to the actual cost of producing copies of such records by the most economic process not likely to damage or alter the record. If a person requests that copies of public records be mailed, such will be mailed upon receipt of all fees and the cost of mailing.
4. Copies of public records will be furnished for commercial purposes in accordance with KRS 61.874(4) and (5). The public agency from which copies of nonexempt public records are requested for a commercial purpose may require a certified statement from the requester stating the commercial purpose for which they shall be used, and may require the requestor to enter into a contract with the agency. The contract shall permit use of the public records for the stated commercial purpose. A reasonable fee will be established.
5. Frank Butler is official custodian of the public records of the University of Kentucky. His address as official records custodian is 301 Main Building, Administration Drive, University of Kentucky, Lexington, Kentucky 40506-0032.

This the 4<sup>th</sup> day of January, 2010.

  
Lee T. Todd, Jr.  
President



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# Special Collections and Digital Programs

## RECORDS PROGRAM

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## Public & Open Records

As a state agency, the University of Kentucky must comply with state laws regarding record-keeping. The major laws are the Public Records Act and the Open Records Act. UK employees must keep these two state regulations in mind as they carry out their daily business. The Records Program highlights these two statutes since they are the basis of our records management program. While the Records Program seeks to help the University function efficiently and to support the University Archives, its primary mission is to ensure institutional compliance with external requirements.

*Managing Government Records*, published by the Kentucky Department for Libraries and Archives, provides an explanation of how these statutes affect record-keeping at state agencies. It also defines the administrative entities involved in developing and carrying out public records management policies. *Your Duty Under the Law*, published by the Attorney General's Office, is designed to assist public officials in understanding their duties under the Open Records Law.

Individuals needing more information concerning these statutes or wanting to file an open record request should contact the legal office. On behalf of the official University records custodian, the legal office is responsible for determining whether the request is proper and whether any legal exemptions are applicable. The legal office is also responsible for gathering the requested documents and then either arranging a time for inspection of the documents or for making copies available to the requestor. The official University records custodian is Frank Butler, Executive Vice President for Finance and Administration.

Please send record requests, or questions about open records, to:

301 Main Building Lexington, Kentucky 40506-0032 Phone: (859) 257-2936 Fax: (859) 323-1062 Email: [ukopenrecords@email.uky.edu](mailto:ukopenrecords@email.uky.edu)

For more information on University of Kentucky open records, please view this memorandum.

For the Access Policy of the University Archives and Records Program see: [Access Policy](#)

### Public Records

Kentucky's Public Records Law (KRS 171.410-740) states that the "head of each state and local agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency" (KRS 171.680 [1]). The statute defines public records as "all books, papers, maps, photographs, cards, tapes, disks, diskettes, recordings and other documentary materials, regardless of physical form or characteristics, which are prepared, owned, used, in the possession of or retained by a public agency." (KRS 171.410 [1])

### Open Records

Kentucky's Open Records Act (KRS 61.870-884) establishes a right of access to public records. All public records, whether they are stored in a computer or on paper, must be open for inspection. Certain public records are exempted from inspection, except on court order.

**WARNING:** Some Web sites to which these materials provide links for the convenience of users are not managed by the University of Kentucky. The University does not review, control, or take responsibility for the contents of those sites.

UNIVERSITY OF KENTUCKY  <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION AR 3:5 (Formerly AR II-1.0-10)		PAGE 1
	DATE EFFECTIVE 7/21/94	SUPERSEDES REGULATION DATED	

## STATEMENT FOR RECRUITMENT AND SELECTION OF FACULTY

The University is a land grant institution with a three fold mission of instruction, research and service. It serves students and scholars across the Commonwealth of Kentucky and beyond its borders. The academic units, faculties, programs and students are heterogeneous. The aim of the University is to recruit and select outstanding faculty members.

Each educational unit of the University before selecting a faculty member must assure that:

- 1) a vacant position is identified and authorized subject to availability of funds.
- 2) the position is described, including minimum requirements.
- 3) the position is announced/advertised.
- 4) a screening process to select one or more finalists is utilized.
- 5) for finalists, employment and personal history inquiries are conducted.
- 6) one or more finalists are interviewed.
- 7) a recommendation for appointment is made, or, in the event that no recommendation is made, the search is re-opened or terminated.
- 8) the candidate selected is offered the position.

Applicable University Governing and Administrative Regulations for appointments must be followed.

## Policy Announcement

#6

Policy Title/Reference Information: **DOE for Administrative Faculty**

New Policy ☐ Policy Change ☒

**Effective Date of Change:** Spring, 2006 for Fiscal Year 2006-07

**From:** University Provost

**To:** Colleges, Graduate Centers, and Departments with Faculty Administrators

### Policy:

A DOE form shall be completed annually for any full-time employee with a faculty appointment in the regular, special, research, clinical, extension, lecturer or librarian title series. This policy includes staff members with faculty appointments and/or whose primary function is administrative. However, staff with adjunct title series appointments are excluded, i.e., no DOE is required.

*Note: An administrator will have the option of designating whether his/her DOE is used or not used to control the payroll cost distribution in HR.*

### Purpose/Rationale:

- To ensure that all faculty effort is captured and reported in a complete and accurate manner
- To ensure accuracy in identifying administrators with faculty appointments for institutional reporting needs

Note: Policies created or changed as a result of SAP implementation should be sent to Phyllis Nash, IRIS Project Director, for review by the IRIS project team prior to campus distribution.

## Policy Announcement

#7

Policy Title/Reference Information: University-Wide DOE Form

New Policy ☐ Policy Change ☒

Effective Date of Change: Spring, 2006 for Fiscal Year 2006-07

From: University Provost

To: Colleges, Graduate Centers, and Departments with Faculty Members

### Policy:

All university areas will be required to use the same DOE form for faculty members beginning in Spring, 2006 for the 2006-07 fiscal year. The newly-designed form will be used for entry and processing of faculty effort information in the FES-client and in the FES component of IRIS.

### Purpose/Rationale:

The single form, created by merging four separate DOE forms into a single form to be used by all areas of the University, will provide consistency in gathering, processing, and reporting essential information on a university-wide basis. The new form was designed as follows:

- *All effort categories from the current forms were merged into one form. The unique categories for each form were retained and can be reported as needed.*
- *In order to meet the needs of the Library system and their faculty, the categories specific to the Library are listed at the end of Section I under sub-section f. Libraries-Primary Assignment.*
- *For effort related to General Academic instruction, it is recommended that all colleges report effort by specific course number. This will require specific entry of contact hours for time spent instructing in the classroom, advising students, supervising students, and time spent for preparation and grading for each specific course. For effort related to General Academic Instruction there will be the option to report effort by specific course number and base the effort on contact hours and preparation and grading for each specific course.*
- *The new DOE Layout will include (1) a cover page that includes faculty member assignment information, summary of effort, payroll distribution, and signatures, and (2) detailed effort with description information.*
- *A blank form can be used as a work-sheet during the initial DOE process for the upcoming fiscal year. After the initial version is input, the colleges will have the option to print the complete form with all detail or a form with only those categories that have effort.*

Note: Policies created or changed as a result of SAP implementation should be sent to Phyllis Nash, IRIS Project Director, for review by the IRIS project team prior to campus distribution.

XVI. Appendix II

Faculty Workload Policy Statement - University System (Approved by Board of Trustees)

A. Introduction

The University of Kentucky is the Commonwealth's primary land grant institution, and its three-fold mission of instruction, research, and service is unique among the public colleges and universities in Kentucky. The faculty is responsible for the discovery, creation, and transmission of knowledge and skills across the generations as well as the advancement of culture in our society. The University serves students and scholars from across the Commonwealth as well as from beyond its borders. Across a wide variety of areas and disciplines, the University provides an environment in which new ideas are fostered. Its faculty members disseminate that knowledge to students in baccalaureate through graduate and professional degree programs, and in continuing education at all levels.

Because the University is a comprehensive teaching and research institution, the academic units, faculties, programs, and students are heterogeneous. The students served by its programs, the qualifications and responsibilities of faculty members who provide instruction, and the many benefits to the Commonwealth are not easily categorized.

To provide the breadth of academic programs required of the University, the faculty performs a complex combination of duties. In this document these collective duties are termed **WORKLOAD**. Workload may be defined as all faculty activities related to essential professional activities and responsibilities: teaching, research and creative activity, interacting with students, clinical care, institutional and professional service, service to the community, and professional development. The essential character of workload is established for all the diverse types of faculty appointments in the guidelines for reappointment, promotion, and tenure within the University and in the distribution of effort agreement that directs each faculty member's working schedule. Workload management requires the realistic assignment of a faculty member's time and University resources.

Faculty members are independent professionals without prescribed working hours. For some, the work period fits a conventional work day, five days a week. For most, the work day is more flexible, and ultimately more time consuming. Commonly, heavy time commitments to teaching, grading, and research fill days, late nights, and weekends during the fall and spring semesters. During the summer months many faculty members commit to rigorous research or academic preparation schedules. Because of the flexible, overlapping, and complex nature of academic work, and because many faculty members are able to set their own schedules within a class-time framework, time spent in any one of the three areas of teaching, research, and service varies from day to day and may change markedly from semester to semester.

Many studies indicate that most University faculty members work an average of fifty-five hours per week. [See, for example, Harold E. Yuker, Faculty Workload: Research, Theory, and Interpretation ASHE-ERIC Higher Education Research Report No.10. (Washington,

DC:Association for the Study of Higher Education, 1984)]. The work Week includes activities in a multitude of environments such as libraries, laboratories, and formal and informal settings around the University and elsewhere. Such activities include teaching and advising, constructing and scoring examinations, reading and grading papers, mentoring graduate students, directing graduate thesis and dissertation research, administrative duties, governance work, research and creative work, keeping abreast of developments in one's professional field, and providing professional services. The faculty work year ranges from nine to twelve months. Many faculty members are not compensated for some months each year, yet they spend these months preparing new courses, in professional development, and preparing research or creative projects for publication, exhibition, or performance.

Faculty workload includes formal classroom instruction, from undergraduate through postdoctoral levels, which may be measured by semester credit hours; laboratory, studio, and clinical contact hours; and informal non-classroom teaching. Workload includes research, or those activities that have as their goal a specific scholarly production, whether it be non-sponsored, individual research, or organized research supported by extramural funding. Workload also includes external service activities performed by faculty members on behalf of the general public, and internal service, or work on behalf of colleagues, students, and University units, and professional activities. While teaching, research, and service may be regarded as separate activities, in practice, these three workload components are rarely distinct. Administrative flexibility is required to assign and assess research, service, and teaching. Therefore, workload assignments should be determined by educational unit administrators who understand the abilities and interests of their individual faculty members.

The standard for teaching-only working assignments for regular-title appointment faculty members is twelve undergraduate credit hours per semester, or the equivalent effort in teaching-related responsibilities. The workload standard for research- or service-only assignments would be equivalent in time and effort to the teaching-only assignment. Most University System faculty members will not have such singular focus assignments but will divide their time among teaching, research, and service responsibilities. Specific guidelines for determining credit hour workload equivalents should be developed at the educational unit level and should recognize the variability of teaching assignments, such as class size and level; research involvement; and service responsibilities.

Appropriate workload management by educational unit administrators would best meet departmental and college responsibilities by maximizing the application of faculty expertise through a Differentiated Distribution of Effort or DDE. The rationale for a DDE stems from the recognition that the University's three-part mission is an aggregate institutional mission, not necessarily the mission of each individual faculty member. The DDE will permit the department chair or unit director, with approval by the dean or the appropriate administrative officer, to assure fairness in the distribution of responsibility among faculty members. The merit evaluation system should reflect the reality of workload distributions and the amount of effort that constitutes a full load equivalent.

#### B. Faculty Workload



1. Teaching

One role of the University of Kentucky is to offer course work and degree programs to students which are on a par with those at the leading public universities in the country. Teaching is broadly defined to include formal classroom instruction, which may be measured by semester credit hours, but also includes laboratory, studio, and clinical contact hours. Courses may consist of lectures, discussion and quiz sections, laboratory exercises, field studies, industrial and clinical practice, and seminars. Formal classroom teaching includes conception, design, and preparation; research; performance; individual tutoring and mentoring; and evaluation of student accomplishment.

Teaching extends beyond the formal classroom setting. Since some of the most valuable teaching frequently occurs in one-on-one sessions outside the classroom, every contact between students and faculty members is a teaching opportunity. In these settings, formal credit hours do not measure the actual contact hours faculty members spend with students, yet such instruction often accounts for a major portion of the work week for the faculty members involved. Much undergraduate laboratory, studio, and field work is informal. At the graduate level most education combines informal and formal classroom teaching. Beyond-the-classroom education has many aspects of an apprenticeship. For example, students in the health care professions learn from faculty as they treat patients. For these students, such experience may be the single most important component of the educational process.

Teaching also includes advising, whether it be advising lower division class members, upper division majors, graduate students working on thesis or dissertation research, supervision of internships, or guidance given students enrolled in professional programs. Teaching and advising may merge in many programs to become one process. Therefore, the teaching portion of the overall workload will vary among individuals, from program to program, and from semester to semester, depending upon the teaching duties of each person. Faculty members may teach fewer courses when actual contact hours substantially exceed formal credit hours, as they usually do in laboratory, studio, clinical, and field work assignments.

Professional development is also of primary importance since to be effective teachers it is mandatory that faculty members know and understand the intellectual and practical status of each subject they teach, and follow disciplinary advances through the professional literature and other appropriate creative forums. This workload component cannot be measured by the number of courses or credit hours taught. Nevertheless, it is at the heart of all University System academic programs.

2. Research and Other Creative Activity

Because the University of Kentucky is the Commonwealth's primary research institution, faculty members are expected to maintain research programs on a par with those at the best benchmark institutions. Therefore, most faculty members are selected on the basis of their ability to make original research contributions. Research includes those activities that have

as their goal a specific scholarly production and may be non-sponsored, individual research, or organized research supported by extramural funding. Research results in a collective advancement of knowledge which may have applied, theoretical, or aesthetic attributes, and it has a central role in enhancing teaching. An effective research program also underwrites professional development.

Research styles and methods vary widely from one discipline to another. For example, the historian may spend long hours in the University library and in bibliographic collections across the globe in order to interpret our heritage. The engineer may form an academic-industry team to enhance robot design and thereby improve work place productivity. The musician, artist, poet, and architect create sounds, visions, words, and structures which will uplift community spirit.

Research output can be measured by quality and number of productions or publications, and, in some fields, by awards, contracts, and grants received.

### 3. Service

Based upon the faculty member's professional expertise, service includes activities established and maintained by the University on behalf of the general public, or external service. Also included is internal service or work on behalf of University units, and professional activities.

The University of Kentucky is committed to providing public service to the Commonwealth and its residents. Specific examples of such external service include agricultural extension work; diagnostic and regulatory activities whereby faculty members bring agricultural information and research findings to farming communities, agribusiness, and the general public. Also included are health care services; service on committees that support the implementation of the Kentucky Educational Reform Act; and advising county governments, student or civic organizations.

The University depends upon its faculty members to provide many academic governance functions, and this work comprises a part of their internal service. For example, faculty members serve on admission committees, faculty search committees, review panels, reappointment, promotion and tenure committees, budget and program task forces, minority recruitment committees, and many others. Faculty members may serve in formal administrative positions for a period, but they are expected to maintain active research programs and teach.

Faculty members are also responsible for service to their professional disciplines. They edit and manage journal publications, and serve on editorial boards that evaluate the quality of research manuscripts submitted for publication. They serve as officers of professional organizations, constitute groups that advise state and federal governments, sit on national panels that select research grant applications for funding, organize and chair scholarly and public meetings and symposia, and serve in advisory capacities to government, industry, and social service organizations.

4. Interactions Among Teaching, Research, and Service

Individual faculty members' workloads consist of three separate components: teaching, research, and service. For most academic disciplines, these components are rarely clearly distinct. Teaching and research become one for most physical science, life science, social science, humanities, and engineering faculty projects, where research by the faculty member is inseparable from teaching research methods to graduate students and postdoctoral fellows. Research and service are inseparable when the research involves issues relevant to the community or the Commonwealth, such as programs to assess drug abuse or improve the health of Kentucky farmers. Teaching and service are one when the teaching is in a community health care center or a demonstration school. Research and teaching missions are often combined in programs other than those leading to baccalaureate and graduate degrees. For example, a faculty member may be doing research on reading which affects teaching in the secondary education classroom or is applied to adult literacy programs in the community.

C. Principles for Implementing Faculty Workload Policies at the University of Kentucky

1. Each educational unit is responsible to its dean or appropriate administrator for contributing to three mission areas: teaching, research, and service. The chair or administrator best knows and understands unit needs and the abilities and interests of their faculty members. Therefore, individual faculty workloads (be they regular-, extension-, special-, clinical-, or research-title series; librarian series; or adjunct series), are determined by, or in consultation with, the educational units most familiar with those responsibilities. Unit administrators should be allowed latitude in making individual workload assignments, and care should be taken that all of a faculty member's contributions to the institution be considered.

2. Policies and practices shall assure that full-time, regular-title series faculty members have comparable total effort; individual distributions of teaching, research, and service may vary but should not result in reduced effort for some individuals within an educational unit. By their nature, other title series faculty appointments carry more definitive workload specifications.

3. The workload for an individual faculty member would be equivalent to:

a. A teaching-only assignment in which the person would teach some combination of classes and engage in associated teaching-related activities that, given the qualifications in Section B (1) above, would be equal to twelve undergraduate credit hours. At the University of Kentucky, the standard teaching-only workload is twelve undergraduate credit hours per semester, or the equivalent in other teaching, research, and service responsibilities.

b. A research-only assignment equivalent to teaching twelve undergraduate credit hours in which the person would direct research activities, supervise research team members, administer grants and contracts, prepare grant proposals, and/or engage in other research activities as described in Section B (2) above, sufficient to maintain a vigorous

research program comparable to successful full-time researchers in the same or comparable fields at the best of our benchmark institutions.

c. A service-only assignment in which the person would engage in activities, such as those described in Section B (3) above, for the equivalent of teaching twelve undergraduate credit hours.

In practice, few faculty members with regular-title appointments would have such a singular focus but would combine teaching, research, and service responsibilities, such that their aggregate workload would be equivalent to any one of these assignments.

University faculty members are the products of rigorous graduate and post graduate education, and possess unique talents and abilities. Appropriate workload management by educational unit administrators would seek to best serve student interests and meet departmental responsibilities by maximizing the application of faculty expertise through a Differentiated Distribution of Effort or DDE. The rationale for a DDE stems from the recognition that the University's three-part mission -- teaching, research, and service -- is an aggregated institutional mission, not necessarily the mission of each individual faculty member. Therefore, to implement a DDE, workload should be conceived of as variable individual efforts which, when aggregated at the educational unit level, allow that unit to meet its academic responsibilities and contribute to the overall University mission. To enhance the ability of a particular educational unit to meet its academic responsibilities, individuals may be assigned asymmetrical workload distributions that emphasize one or two mission areas, rather than all three. Because of promotion and tenure requirements, a DDE heavily weighted toward one area would normally be inappropriate for untenured faculty members who are full time and regular-title series, since there is an expectation that excellence be demonstrated in each of the three mission areas.

The DDE should also permit the department chair or unit director, with approval by the dean or appropriate administrative officer, to assure fairness in the distribution of responsibility among faculty members. For example, since the University of Kentucky is the Commonwealth's primary research institution, and faculty members are expected to establish research programs, an individual whose research has produced an internationally recognized body of work and has obtained external funding support may be assigned to teach one or two courses per semester. Their remaining academic effort would be allotted to research and service. This effort would constitute a full academic workload, and the definition of full load and contact hour will vary across departments. The chair might assign another faculty member, whose research program and service responsibilities are limited, to teach three or four courses. Such an assignment would be reevaluated on a regular basis, in conjunction with a regular faculty review period.

These are examples, and many other DDE combinations are possible. The merit evaluation system should reflect the reality of workload distributions and the amount of effort that constitutes a full load equivalent.

4. Considerations for adjusting workload distributions for an individual should relate to:

a. Difficulty, scope, size, and level of courses taught (e.g., number of preparations, development of new courses or revisions of existing courses, type of instruction, class size, use of teaching assistants, advisement and mentoring activities, etc.);

b. Research responsibilities and/or service expectations.

5. Research, service, and non-classroom teaching are more difficult to quantify than formal classroom teaching but are, nevertheless, assessed according to merit evaluation and reappointment, promotion, and tenure guidelines. Policies and practices shall assure that full-time faculty members have comparable total effort, although individual distributions of teaching, research, and service may vary.

D. Expectations and Outcomes

In support of this workload policy, the University System will operate in consideration of the following:

1. Expectations

a. That faculty members in each educational unit should participate fully with unit administrators in determining appropriate specific guidelines and procedures for assigning workloads;

b. That faculty members should participate fully at the college and university levels to develop and implement general workload guidelines;

c. That each academic unit should clarify and formalize their criteria and procedures to assure that all faculty members within the unit have comparable workloads;

d. That reappraisals of workload policy within educational units should occur at regular intervals to respond to university and college missions and to adjust to changes in size, structure, and curricular demands; and,

e. That those policies and practices should be made clear to all faculty members each year.

2. Outcomes

a. On behalf of the Commonwealth of Kentucky, the University faculty aspires to accomplish a three part mission: to create knowledge through research; to preserve and disseminate knowledge through teaching; and to serve the public and academic

community through the application of learning and expertise. This workload statement seeks to achieve these ideals through the realistic management of faculty time and University resources.

b. The University faculty places high value upon the process and product of scholarship, and seeks to make University students and Commonwealth residents the chief beneficiaries of that scholarship. Teaching must be informed by research that has currency; to do otherwise would be to offer outdated ideas and solutions to tomorrow's problems. Faculty members will seek to underwrite their own research programs through proposals to external funding sources. Research awards will enhance those resources provided by the Commonwealth and, in addition to supporting research, will greatly benefit teaching and service productivity.

c. University System teaching and research programs will provide students studying at the University at all levels -- undergraduate through postdoctoral -- with the best educational experience that faculty and resources can provide. Thus, a university education will foster a cadre of graduates who will be informed and skilled citizens, providing leadership for the Commonwealth's business, industry, professions, and government.

d. University programs will also contribute to the life of the community by helping individuals to define and pursue personal goals which enrich their own lives and which ultimately contribute to the well-being of the Commonwealth's citizens.

e. Given these commitments on the part of university faculty members, this workload statement seeks to assure the faculty, in turn, that their assignments will be equitable and recognition and reward will be based upon the quality of their accomplishments.

**ADMISSIONS COMMITTEE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

The Committee shall:

1. Recommend policies, requirements and procedures for admission to the College of Medicine for first year students and those for advanced standing in the educational program for the degree of Doctor of Medicine.
2. Evaluate the qualifications of applicants and recommend those selected for admission to the Dean of the College of Medicine.
3. Evaluate the various tools, criteria and procedures used in the process of appraisal and selection of applicants; study the trends of applications and admissions to medical schools locally, regionally and nationally; engage in recruitment activities and such other appropriate steps as may be useful in obtaining highly qualified medical students who also may be representative of diverse social and cultural backgrounds.
4. Participate, as may be appropriate and feasible, in visits to other colleges and universities, in conferences relating to admission, in career day programs and in other appropriate activities related to recruitment and admissions.
5. Coordinate and guide the activities of faculty members and students who serve as interviewers of prospective students; receive and evaluate interview reports and recommendations of interviewers as a source of information on the suitability of prospective candidates.

Membership:

The Committee shall have at least 15 members, the Chair, and the Assistant Dean for Admissions. The membership shall be distributed according to the following criteria:

1. Four students (each year two third-year students shall be appointed for a two-year term);
2. Two community representatives (at least one of whom will be a community physician);
3. One medical center administrator experienced with Student Affairs;
4. At least nine faculty members representing both basic sciences and clinical sciences.

All members, except for the students, shall serve staggered three-year terms. The Chair shall be a faculty member who has previously served on the committee. If possible, he/she shall serve as Vice-Chair prior to assuming the role of the Chair. The Chair may serve consecutive terms at the request of the Dean. The Chair shall vote only in the case of a tie. The Assistant Dean for Admissions shall be a non-voting ex-officio member.

**COMMITTEE ON MEDICAL LIAISON AND CONTINUING EDUCATION**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

The Committee shall:

1. Review at intervals the philosophy, program, financing and commitment of the College in regard to continuing education.
2. Assist the development of a strategy for contribution by the College for the continuing education of physicians.
3. Make recommendations to the Dean regarding operations essential for support of the strategy elaborated, and in respect to:
  - a. Enlisting faculty participation;
  - b. Providing guest faculty;
  - c. Financial policies and needs;
  - d. Liaison with physicians and their professional societies;
  - e. Public and public agency relationships;
  - f. and other related interests.

Within the Committee there shall be a Sub-Committee, appointed by the Chair and consisting of two or three clinical members, whose responsibility it is to review courses in order to assure that ACCME standards and requirements are maintained.

**Membership:**

The Committee shall be comprised of at least four faculty from clinical departments, all of whom have demonstrated an active interest in continuing medical education. The Chair of the Committee shall be the Assistant Dean for Continuing Medical Education. The College representative to the Medical Center Continuing Education Committee and the Associate Dean for Extramural and Postgraduate Medical Education will serve as ex-officio members of the Committee. The Chair will report to the Dean on the activities of the Committee.

**Meetings:**

Meetings will be called by the Chair as needed.



**COMMITTEE ON FACULTY APPOINTMENTS,  
APPEALS, PROMOTIONS AND TENURE  
University of Kentucky  
College of Medicine**

**RULES OF PROCEDURE**

Purpose of the Faculty Appointments Committee:

Review the curriculum vitae and other required information in accordance with University Regulations on proposed appointments or nominations for promotions as submitted by Department Chairs and propose recommendations to the Dean.

Membership:

The selection of individual members of the committee and composition is at the discretion of the Dean, who may consult the Faculty Council. Basic and clinical scientists need to be represented. The average tenure is three years.

Frequency of meetings:

The frequency of meetings is usually monthly or bi-weekly (held more frequently during the months November-April).

The Committee shall:

Review the curriculum vitae and other required information in accordance with University Regulations on proposed appointments or nominations for promotions as submitted by Department Chairs.

In addition to review of documentation of research productivity, quality of teaching and quality of services rendered, the Committee, through the Office of the Dean shall solicit independent performance review as deemed necessary.

Provide for the Dean a narrative evaluation stating the basis for its actions in response to recommendations for appointments, promotions and faculty appeals.

The committee shall submit its recommendations only to the Dean.

The Committee, in accordance with University Regulations, is advisory to the Dean on appointments or promotions of faculty to the academic ranks of Associate Professor and Professor. The Dean may request a Committee recommendation on the rank of Assistant Professor when he deems it appropriate. With the Dean's concurrence, the Committee's judgment will form the basis of the recommendations submitted to the Provost for review by the appropriate University Academic Advisory Area Committee.

**RESEARCH AND GRADUATE EDUCATION COMMITTEE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

Purpose: The Committee shall:

Review and recommend to the Dean on any programs or initiatives that will enhance the research programs of the College and associated centers and institutes;

Review and recommend to the Dean on any changes in policies related to research;

Review and recommend on the investment of any new funds that support the research enterprise. This role involves, but is not restricted to, any new state-funded programs such as the RCTF programs, equipment “bond issue” funding, or “New Economy” program; and

Review and recommend on any faculty incentives that will stimulate the submission of additional proposals; and

Selection and Composition: The Committee is composed of five clinical and five basic science faculty who are appointed by the Dean. The Executive Dean is an ex officio member of the Committee.

Length of Service of Members: Three years.

Frequency of Meetings: The Committee meets on an as-needed basis.

**FINANCIAL AID COMMITTEE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

The Committee shall:

1. Award and monitor all student loan scholarship programs controlled by the College of Medicine.
2. Coordinate the needs of the College of Medicine with efforts of Development to establish new scholarship programs, i.e. endowments, etc.
3. Coordinate scholarship programs with the Admissions Committee as necessary.
4. Monitor satisfactory academic progress as it relates to student loan and scholarship renewals and also monitor those programs that have primary care commitment.
5. Establish the guidelines and procedures for application and selection of recipients for College of Medicine scholarships and loan programs.
6. Serve in an advisory capacity to the Financial Aid Coordinator concerning financial aid issues as they relate to medical students.
7. Serve as an appeal board for students who have special financial circumstances.

Membership:

The Committee shall be composed of a minimum of seven members: five faculty members, one of which is from the admissions committee and two community representatives. The Financial Aid Coordinator shall serve as secretary. The Financial Aid Coordinator and the Associate Dean for Academic Affairs, or designate, shall be ex-officio, non-voting members. Committee assignments are for three years.

**INTERNATIONAL COMMITTEE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

Purpose:

The Committee shall:

establish and review at intervals the philosophy, program, and commitment of the College in regards to opportunities in international studies;

recommend the development of programs which would inform and encourage students, residents and faculty to participate in quality international experiences;

review criteria for formal school-sponsored rotations in international medicine and provide oversight to the clerkship coordinators of these programs;

review the criteria selection for scholarships sponsored by the College of Medicine in international clerkships.

Membership:

The Committee shall be comprised of faculty members and students, as well as liaison members outside of the College as appointed by the Dean. The Assistant Dean for Student Affairs, and the Associate Dean for Academic Affairs will serve as ex officio members of this committee.

Meetings:

Meetings will be called by the Chair as needed.

**COLLEGE OF MEDICINE CLINICAL PERFORMANCE EXAMINATION (CPX)  
COMMITTEE  
University of Kentucky  
College of Medicine**

**RULES OF PROCEDURE**

Purpose:

The committee will:

have oversight of the development, administration and evaluation of the CPX, working closely with the Assistant Dean of Student Assessment and Program Evaluation and the Coordinator of Testing Services;

report to the Curriculum Committee on matters relevant to the CPX, such as curricular deficiencies identified by the examination and overall student performance on the examination;

report to the Student Progress and Promotions Committee on individual student deficiency in examination performance;

design, administration and evaluation of their discipline-specific CPX stations and selected cross-discipline stations (this may include writing new standardized patient cases);

assist in training standardized patients for their roles in the examination, including reliability testing;

assist as needed in the grading of the part B aspects of their discipline's stations.

Membership:

The selection of individual members of the committee and composition is at the discretion of the Dean and the Associate Dean of Academic Affairs. Members will typically be faculty knowledgeable and skilled in the area of clinical skills and assessment. In general, each clinical department with a third-year clinical clerkship will be represented on the committee with at least one individual. In addition, it is desirable to have Basic Science representation on the committee.

Committee members will serve 2 to 3 year appointments.

The committee will be co-chaired by the medical director of the Standardized Patient Program and the medical director of the College of Medicine Clinical Skills Teaching and Assessment Center.

Meetings:

The committee will meet as needed for the preparation and evaluation of the examination each July, typically monthly to biweekly in the months prior to the examination. In addition, meetings will occur after the examination to review performance.

**POSTDOCTORAL ADVISORY COMMITTEE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**Purpose:**

**The committee will:**

serve as an advisory body to both the Dean and the Faculty Council. The charge of the Committee is to improve the quality, training and experience of postdoctoral trainees within the College of Medicine.

monitor and evaluate the postdoctoral training environment within the College of Medicine; oversee the functioning of the Postdoctoral Resources Office and advocate for the resources needed to support productive postdoctoral training at the University of Kentucky; discuss, plan and provide training outside of the laboratory that will give postdoctoral scholars and fellows the background necessary for successful future careers in research and teaching; and assist faculty in their efforts to recruit and retain outstanding people into postdoctoral positions.

**Membership:**

The Postdoctoral Advisory Committee shall be composed of a faculty member from each of the basic science departments, a clinical science faculty, a Departmental Administrator from a basic science department, two basic science postdoctoral trainees and one clinical science postdoctoral trainee (or similar). The Senior Assistant Dean for Graduate Education and Administration and Administrative Services Assistant from the Postdoctoral Resources Office will serve on the Committee on an ex officio basis. The Committee Chair should be a full-time faculty member selected from among the Committee members.

**Meetings:**

The committee will meet monthly.

**DIVERSITY ADVISORY COMMITTEE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

The University of Kentucky College of Medicine believes that its educational, research, and clinical missions are enriched by a community of people of diverse backgrounds and cultures. The College is therefore committed to fostering an environment in which a diverse community of students, faculty, and staff flourish.

Definition of Diversity: the recognition and respect of all differences that exist in individuals with respect to gender, race, color, ethnicity, national origin, religion, age, physical characteristics, sexual orientation, and disability (Website of the Montgomery County, Md Diversity Council.)

Responsibilities of the Committee: The DAC is advisory to the Dean of the College of Medicine.

The Committee seeks to:

Support and promote cultural sensitivity and inclusion through education of all constituencies of the College community;

- Provide and monitor data on student, faculty and staff diversity and related issues by data acquisition, including the use of periodic surveys, and analysis;
- Assist and facilitate search committees in recruiting faculty and staff from underrepresented groups;
- Assist efforts of the Office of Admissions in attracting students who contribute to the College's commitment to diversity; generate and assist the dean with the development of pipeline initiatives to nurture an interest in medicine and medicine-related science.
- Assist the Dean in ascertaining basis for departure of faculty, students and staff who leave the College unexpectedly and work to reducing such occurrences.
- Foster the visibility of the College's deep and abiding commitment to diversity to the wider community through community engagement.

Membership of the Committee:

Medical Students (4) ---- each class shall have a representative who will serve for four years;

Graduate Students (2) ---- each will serve for 4 years with terms staggered;

Residents (2) ---- each will serve for four years except when that the term shall end upon completion of the resident's training program; a replacement will serve out the balance of the term and then eligibility to continue for an additional term or fraction thereof;

Postdoctoral candidate (1) ---- each will serve for a two year term.

It is expected the each of the above will have their service naturally limited by their duration as a student within UKCOM;

Faculty (4) ---- each will serve for four years but the initial members' terms will be staggered;

Staff (4) ---- each will serve for a four year term.

Faculty and staff may be reappointed for a maximum of two terms.

Ex officio ---- Director of Collaborative Initiatives, Dean's Office; Director, Health Center Diversity and Enrichment Services; and Associate Dean for Admissions and Institutional Advancement

**DEPARTMENT OF ANATOMY AND NEUROBIOLOGY**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURES**

**I. BASIC PROCEDURES:**

***Faculty Involvement in Educational Policy Making:***

1. *Academic Requirements* -- The Department is responsible for teaching medical, dental, allied health, graduate, and undergraduate students. Each individual course director is responsible for preparation of course syllabus, course lab guides, and examinations as well as recording of grades. Specific policies for each course are stipulated in the course syllabus which is distributed to students the first day of classes. Discussion of student progress and/or any problems with courses are discussed at monthly faculty meetings. Suggestions for changes in courses are presented by the course director, as needed, at monthly faculty meetings and voted on by the Departmental faculty. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding policies to serve public service functions.
2. *Courses of Study* -- See Academic Requirements and attached list for Anatomy and Neurobiology course offerings.
3. *Class Schedule* -- See Academic Requirements and attached list of courses for semester when courses are offered.
4. *Graduate Programs* -- See attached "Graduate Program Guidelines" for guidelines and policies for graduate program. Changes in guidelines and policies will be proposed at a general department faculty meeting through the Graduate Studies Committee. Changes in the Graduate Program require majority faculty approval.
5. *Research Programs* -- The department has instituted a research development initiative whose two-fold purpose is to: 1) facilitate research grant submission within the department with a strong, but not exclusive emphasis on younger faculty; and 2) encourage pilot projects among faculty to establish external funding with salary reimbursement and indirect costs.
6. *Service Functions* -- Department faculty members serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education and research.

***Faculty Involvement in Developing Procedures for the Following Areas:***

The membership of the departmental faculty consists of the chair, full- and part-time faculty. Tenured and tenured track faculty members possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions.



1. *Appointing Faculty Members* -- The Chair appoints a faculty recruitment committee. Based upon the long-term perspectives, goals, research and teaching priorities of the Department, the Chair, with the advice of the faculty, determines the type of faculty and the areas of expertise in which to recruit.
2. *Reappointments* -- All tenured faculty members in the department meet to review and discuss the progress of non-tenured faculty for reappointments. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments.
3. *Terminating Faculty* -- The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department.
4. *Decisions to not Reappoint* -- Same as Reappointment above
5. *Post-Retirement Appointments* -- The Chair recommends post retirement appointments to the Dean as needed to help fulfill the teaching requirements of our Department while new faculty are being recruited.
6. *Promotion and the Granting of Tenure* -- Annually, the Chair reviews CVs and summaries of annual accomplishments for all faculty who are eligible for tenure or promotion, shares the information with the tenured faculty and requests written evaluations from them. When the majority judges that individuals are ready to be proposed for promotion and tenure, the Chair discusses that prospect with the candidates and prepares the strongest possible dossiers. With advice from the candidates, the Chair initiates requests for letters for support. Untenured faculty and selected students are also invited, though not required, to write letters of comment on the candidates after reviewing the CV, examples of research productivity, and teaching evaluations.
7. *Faculty Performance Evaluations* -- 1) The required reviews of untenured faculty occur shortly after the completion of the second and fourth years of the pre-tenure period. The tenured faculty members review the relevant CVs and summaries of progress to date and submit written comments to the Chair addressing the progress toward tenure. These comments are compiled by the Chair and incorporated into letters which are then discussed individually with candidates. Copies of these letters are forwarded to the Office of the Dean. The emphasis is on advice that will enable candidates to develop the strongest possible case supporting eventual promotion and achievement of tenure. 2) During November and December of each calendar year, as required by governing regulations and the Dean of the College of Medicine, the Chair conducts performance evaluations of all full-time faculty members. At that time the Chair asks all faculty members to submit a summary of the year's accomplishments, a current CV and a list of goals for the next year. This information is reviewed. The Chair rates the applicable performance categories and writes a narrative highlighting selected areas. The Chair meets with the individual faculty members to discuss the performance ratings before forwarding the documents to the Dean for further review.
8. *Preparation of Budget Requests* -- The Department Administrator in consultation with the Chair of the department is responsible for budget preparation in accordance with the process developed by the college, Medical Center and the University.

*Establishing Rules* -- When major issues arise in the Department, the general procedure is to discuss these issues in an open faculty meeting, obtaining the input of all those who wish to provide such input, and providing for open discussion of the various viewpoints of the faculty members. The general goal will be to reach an overall consensus of opinion. The majority opinion of the faculty during these discussions will be taken as the recommendation of the faculty serving in an advisory capacity to the Chair who is responsible for making the final decision.

*Governing and Administration Regulations:* Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

*Modifying Rules* -- See above

*Copies of Rules to All Faculty Members* -- All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty, staff, and students.

## II. MEETINGS:

Departmental faculty meetings are scheduled once each month. Others are invited to attend departmental meetings for their information and input to the faculty. These include a representative of the graduate students and the Department Administrator. The Department Chair's Administrative Research Associate Senior takes minutes at the monthly meetings of pertinent issues and information. The Department of Anatomy and Neurobiology has adopted a procedural format which specifically excludes the use of formal motions or formal rules of order until issues under consideration have been fully aired through free and open discussion and there is clear and mutual understanding of each member's position. Recognition of consensus or a majority viewpoint is accepted except on matters wherein University regulations require or a member requests a formal vote.

*Number needed to Request a Special Meeting* -- Additional meetings may be called by the chair or requested by faculty when the need arises.

*Quorum Necessary for Transaction of Business* -- Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

*Presided over by Chair or Delegate* -- The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

*Minutes Available to Faculty* -- The minutes are distributed as Faculty Meeting Highlights in the departmental newsletter, ***Brain Waves***, distributed monthly (or at minimum every two months) via email and also published on the departmental website.

*Notification of Meetings* -- Contact is made by email of the meeting place and time and requesting agenda items. The Chair establishes the agenda and distributes it to the membership prior to the meeting.

*Voting Policy* -- When a formal vote is required, all full-time faculty with primary or joint appointments in the Department of Anatomy and Neurobiology are eligible to vote. Every reasonable effort is made to obtain the vote of all those who are eligible; the majority rules. All other members of the Department are encouraged to provide advice to the faculty prior to the faculty vote. Voting by proxy shall not be allowed at meetings, and voting shall be by secret

ballot whenever action to vote by such ballot is approved by a majority of those present and voting.

*Conformity to Open Meeting Act* -- The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### **III. COMMITTEES:**

Faculty who hold primary and appointments in the Department of Anatomy and Neurobiology act as a committee of the whole on most matters. Exceptions include the Graduate Studies Committee, the Faculty Recruitment Committee, and occasional ad hoc committees. The tenured faculty members are required under the Administrative Regulations to make decisions related to 2- and 4-year reviews, appointment, promotion and tenure. The Chair asks faculty to serve on departmental committees after calling for volunteers. The Chair asks faculty each spring to indicate their willingness to serve on College committees appointed by the Dean.

#### ***Graduate Studies Committee:***

*Purpose:* The Committee advises the Department on all matters related to the Department graduate Program policies, procedures, and recruitment.

*Selection & Composition:* The Committee shall be chaired by the Director of Graduate Studies (DGS). Committee members include faculty and staff appointed by the Chair with recommendations from the DGS.

*Length of Service of Members:* The Committee Chair shall serve for the three years he is appointed as DGS. Department committee members serve for one year and may be reappointed annually.

*Chair Ex-Officio Members:* The Department Chair is an ex-officio member of all Department Committees.

*Frequency of Meetings:* The Committee Chair will convene the committee as needed to provide smooth running of the graduate program.

#### ***Faculty Recruitment Committee:***

*Purpose:* The Committee advises the Chair on all recruitment of new faculty in the Department of Anatomy and Neurobiology.

*Selection & Composition:* The Committee shall be chaired by the Department Chair. Committee members include faculty and staff appointed by the Chair.

*Length of Service of Members:* The Committee members serve for one year and may be reappointed annually.

*Ex-Officio Members:* No one serves as an ex-officio member of this committee.

*Frequency of Meetings:* The Committee will convene the committee as applications are received for open faculty positions.

#### IV. FACULTY PERSONNEL ACTIONS:

*Distribution of Effort:* In the spring of each year, each faculty member meets with the Chair to define the expected distribution of work assignments for the coming academic year (July through June). The discussion takes into account the needs of the Department for instructional and administrative services, commitments to research, professional development, and personal professional goals of the faculty member. Although these plans are typically reasonable approximations of actual effort, it is understood that changes can be accommodated through the "current effort status" form.

*Evaluation of Faculty Performance -- Performance Evaluations:* Faculty members are evaluated on an annual basis by the Department Chair. The Director of a Multidisciplinary Research Center shall participate for those faculty members with such appointments. Each faculty member submits an updated CV to the Department Chair on an annual basis. Major areas of evaluation include: 1) research, 2) teaching, 3) University and public service, 4) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

*Appointments --* After permission to recruit is received from the Dean, the Chair appoints a faculty recruitment committee. Advertisements are placed. When CVs and resumes are received from potential applicants, they are circulated to the Faculty Recruitment Committee. Based upon the evaluation of the Committee, candidates are selected and invited to interview for our position. During the visit the candidate presents a seminar, talks with our graduate students, and meets with as many Department faculty members as possible. The faculty members are asked to provide written evaluations to the Chair of each candidate interviewed. Written letters of support are required of department tenured faculty when an appointment is made. The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have a joint appointment in that Center.

*Reappointment -* All tenured faculty members in the department meet to review and discuss the progress of non-tenured faculty for reappointments. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendations during the yearly performance evaluations.

*Terminal Reappointment/Non-reappointment -* Discussion of any of the above will be at a specially called tenured faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair will make a decision after a majority vote of the tenured faculty.

*Promotion --* The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

*Tenure* -- Same as for promotion

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

## **V. ACADEMIC MATTERS:**

*Academic Advising* -- Medical student advising is accepted when a student request is judged appropriate by the individual faculty member. Graduate students are advised for the first year of student by the Director of Graduate Studies. At the end of the first year, the student chooses a faculty member who holds graduate faculty status with the graduate school to act as his/her academic advisor for the remainder of his graduate program in Anatomy and Neurobiology. The advisor follows the rules and regulations as set forth in the Department Graduate Studies Policies.

*Curriculum* -- The Course Director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Specific policies are stipulated in the course syllabus which is distributed to the students on the first day of each course. The faculty members discuss problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement amongst the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

*Class Schedules* -- Class schedules are set by course directors in consultation with Chair. See attached list of department course offerings.

*Evaluations of Courses* -- All courses are evaluated by students who write evaluation comments, at least once, at the end of courses. Additional evaluation may be sought in writing and orally from individual student liaison committees. Chair and Course Directors review evaluations with teaching faculty. Chair and Course Directors may also evaluate teaching by direct observation of teaching activities.

## **VI. BUDGET PREPARATION:**

The Department Administrator in consultation with the Chair of the Department is responsible for budget preparation in accordance with the process developed by the college, Medical Center and the University.

## **VII. STUDENT PARTICIPATION:**

*Number of Students Involved* -- one graduate student representative is chosen by the Anatomy and Neurobiology Student's Association to attend Department Meetings as a non voter in order to facilitate communication between faculty and students.

*Method of Selection for Committees* – see above.

**GRADUATE STUDENT INFORMATION  
AND GUIDELINES HANDBOOK  
2009 – 2010**

**DEPARTMENT OF ANATOMY  
AND NEUROBIOLOGY**

**UNIVERSITY OF KENTUCKY**

**(Revised 9/29/2009)**

## Anatomy and Neurobiology Doctoral Program

The Department of Anatomy and Neurobiology has high expectations of its graduate students. While these expectations are described elsewhere in this handbook, we want students to be fully aware of them prior to choosing our department. All entering graduate students and their chosen mentors must read and sign the “***Compact Between Predoctoral Appointees and Their Mentors***” prior to entering the department. This compact ensures that the mentor and predoctoral appointee are aware of and agree on the expectations and responsibilities involved in graduate and professional training.

**Academic Performance:** Students with a GPA of less than 3.0 during the IBS year, should discuss this openly and frankly with their potential mentor. Students who are officially on academic probation are not eligible for graduate school payment of out-of-state tuition charges, and these students may be asked to pay these charges. Academic performance after joining the department is expected to remain above a GPA of 3.0.

**Professionalism:** Our students are expected to demonstrate a high degree of professionalism that is inclusive of, but is not restricted to, personal honesty and integrity. Academic and scientific professionalism includes the following characteristics:

- The student is expected to maintain an academic GPA greater than 3.0 to ensure that they are able to sit for Qualifying Examinations, or tuition costs will be incurred.
- The student is expected to follow the direction and timetable established by his/her dissertation advisor and Advisory Committee in completing research and the graduate program.
- The student is expected to discharge all duties assigned by the department and agreed to by the student and his/her advisory committee.
- The student is expected to uphold ethical behavior in all aspects of academic life including the classroom and laboratory. Cheating, lying, plagiarism, and taking excess vacation time are all considered to be flagrant violations of ethical behavior in science and academia. We strictly enforce these guidelines and expulsion from the program could result from an ethics violation or a continued series of violations.

**Teaching Responsibilities:** *All graduate students within the department must have a minimum of one unit of teaching experience (see details below).* The Director of Graduate Studies, in consultation with course directors, will assign each student their TA responsibility. There is no additional compensation for this although an official TA-ship may be available to cover your tuition charges. TA responsibilities generally include: attending all classes and conducting review sessions prior to exams, assisting with proctoring of exams, grading exams, serving as a lab instructor and /or various other duties within the normal scope of teaching in the Department of Anatomy and Neurobiology.



## GENERAL INFORMATION FOR NEW STUDENTS

Welcome to the Graduate School and the Department of Anatomy and Neurobiology doctoral program. The next several years will be filled with many new experiences that will impact your advancement toward your doctoral degree and your development as a professional scientist. The information in this handbook will guide your progress through your graduate school years; it includes information on moving, administrative issues, stipends and tuition, student health insurance, registration, curriculum and evaluation. **Admissions and registration** for first year graduate students in Anatomy and Neurobiology are administered through the ***Integrated Biomedical Sciences (IBS) Director's Office***, located in the Dean's office, College of Medicine. Details of the program can be found on-line at [www.mc.uky.edu/ibs](http://www.mc.uky.edu/ibs) or by contacting Jason Mitchell ([jasonmitchell@uky.edu](mailto:jasonmitchell@uky.edu), IBS program administrative assistant) for details.

### ADMINISTRATIVE ISSUES

Students electing to continue their graduate studies in Anatomy and Neurobiology, beginning with their second year, may be awarded stipends, assistantships or fellowships (defined in the *Graduate School Bulletin*) through the Department of Anatomy and Neurobiology. The Department Administrator, Ms. Julie Poole (3<sup>rd</sup> floor MRISC building, 323-6288, or via email at [japoole@email.uky.edu](mailto:japoole@email.uky.edu)) will provide assistance in completing all the necessary paperwork.

Additionally, Ms. Poole and the office staff will assist students in signing up for health insurance, e-mail addresses and parking permits. Second year students should meet with the Director of Graduate Studies, Dr. Jane Joseph (MRISC 308, 323-1825, or [jjoseph@uky.edu](mailto:jjoseph@uky.edu)), **before** registering for the fall semester. Registration for classes is done by phone or online during the appropriate registration period, after obtaining the class schedule from the Director of Graduate Studies.

To obtain keys to the common equipment rooms and laboratories, see Dalene Rice (3-8260 or [darice2@email.uky.edu](mailto:darice2@email.uky.edu)) in the Departmental Office (3<sup>rd</sup> floor, MRISC building).

If students need access to the animal facilities, your dissertation advisor will obtain the necessary security clearance sticker for your ID badge and proximity clearance for the Simplex Proximity Readers. This sticker is obtained through the Department of Laboratory Animal Resources (DLAR) only. Your new ID badge (see Dalene Rice) should also be coded to provide access to any buildings with restricted access as appropriate.

All students are assigned a departmental mailbox. There are photocopy and fax machines in the department mailroom MN223 and in the department administrative office in the MRISC building, 3<sup>rd</sup> floor. Students may use the photocopy machines by obtaining a five digit access code from Joey Rose by calling 7-2016 or emailing [joey@uky.edu](mailto:joey@uky.edu).

### STIPENDS AND TUITION

Second-year students are awarded a yearly stipend from the research laboratory they choose for their dissertation research, the departmental Graduate Program or other sources. This stipend is in addition to tuition, fees, and health insurance. The stipend is considered to be a salary paid to part-time student employees and is subject to federal and state income taxes. Stipend checks and fellowship checks are available on a bi-weekly basis. Both **MUST** be direct deposited into a bank account (see Dalene Rice, 3<sup>rd</sup> floor, MRISC building 323-8260 or [darice2@email.uky.edu](mailto:darice2@email.uky.edu)). The Graduate Program Committee can discontinue a stipend if a student fails to meet program requirements (see following section on **Student Evaluation**).

Students awarded a research assistantship or fellowship through IBS receive payment of tuition, both in-state and out-of-state. Students are guaranteed payment of tuition related to their doctoral programs subject to the following conditions:

(1) The coursework for which the student has registered has been approved by the IBS director during the IBS year, and by the chair of their advisory committee and the DGS of their program, once they have entered a doctoral program.

(2) The student is in good academic standing. Effective fall 2007, students who have been notified by the Graduate School that they are officially on academic probation will be responsible for payment of out-of-state tuition charges while they remain on probation. During this time, in-state tuition will be paid by the PI/program for out-of-state students. Once they have raised their GPA to the required 3.0 to regain good academic standing, payment of any future tuition charges will be covered by their PI and/or program, subject to condition #1.

## VACATIONS

**Students are entitled to 4 weeks (20 days) of vacation per year**, planned in consultation with the student's advisor. An official Absence Record form must be submitted to Dalene Rice. Students must follow University Employee Guidelines for holidays. Please note that courses in the Medical School do not follow the same academic calendar as graduate courses (university calendar). For graduate students, time away during these breaks must be arranged as with any vacation time.

## STUDENT HEALTH INSURANCE

The Department of Anatomy and Neurobiology provides the financial support for a “**hospitalization only**” plan (Aetna) for second, third and fourth year students. The Graduate School enrolls all full-time RA and TA graduate students in the Aetna Insurance Program. A card will be mailed to your student billing address. Be sure to provide your Lexington address to the department business office (Dalene Rice, 3<sup>rd</sup> floor, MRISC building 323-8260 or [darice2@email.uky.edu](mailto:darice2@email.uky.edu)) and the Graduate School).

The Department of Anatomy and Neurobiology will only provide funds for the Aetna Group hospitalization plan for each student on a research assistantship or fellowship. If a student wishes to obtain a broader coverage plan, then he/she is responsible for the additional premiums. The Department also provides the financial support for access to the University Student Health Services (a list of services can be found at <http://www.uky.edu/StudentAffairs/UHS/>).

## REGISTRATION

The required courses for the doctoral program in Anatomy and Neurobiology follow in the section entitled **Program Requirements**. Each student should consult with the Director of Graduate Studies regarding registration. Registration is done via telephone or online. It is the student's responsibility to complete registration on or before the required dates (see Graduate School or Medical School academic calendars). ***The Department will not assume responsibility for any late or drop fees.***

## GRADUATE PROGRAM GUIDELINES

After successful completion of the IBS program, students with a research interest in Anatomy and Neurobiology may enter the department's doctoral program. Once your enrollment has been changed from IBS to Anatomy & Neurobiology students must follow the guidelines outlined below and are expected to pursue the degree on a 12-month, full-time basis. Selection of a dissertation

advisor must be made prior to beginning the second year of the program and entering the department. The dissertation advisor must agree to accept the student for dissertation research. The ***Dissertation Advisor & Program Selection*** form from the IBS program must be filled out and signed by the advisor, Director of Graduate studies and the Department Chair. The Director of Graduate Studies and the Department Chair will only sign off on this form when the “***Compact Between Predoctoral Appointees and Their Mentors***” has been read and signed by the student and mentor. The acceptance of all students for dissertation research requires review and approval by the Graduate Program Committee and the Chairperson of the department. Students must complete the general requirements of The Graduate School as described in *The Graduate School Bulletin*. Any exceptions to the stated Program Requirements must be approved by the student's Advisory Committee **and** the departmental Graduate Program Committee.

## **GRADUATE PROGRAM COMMITTEE**

**Jane Joseph, Ph.D., Director of Graduate Studies**

(MRISC 308, 323-1825, [jjoseph@uky.edu](mailto:jjoseph@uky.edu))

**Diane Snow, Ph.D., Associate Director of Graduate Studies**

(BBSRB B455, 323-2613, [dsnow@uky.edu](mailto:dsnow@uky.edu))

Luke Bradley, Ph.D.

(MS476B, 3-1826, [lhbrad2@email.uky.edu](mailto:lhbrad2@email.uky.edu))

Wayne Cass, Ph.D.

(226 HSRB, 3-1142, [wacass1@uky.edu](mailto:wacass1@uky.edu))

Greg Gerhardt, Ph.D.

(310 MRISC, 3-4531, [gregg@uky.edu](mailto:gregg@uky.edu))

Steve Scheff, Ph.D.

(101 SB, 7-1412 x 270, [sscheff@uky.edu](mailto:sscheff@uky.edu))

Graduate Program Committee Staff

Julie Poole, Department Administrator (MRISC 309, 3-6288, [japoole@email.uky.edu](mailto:japoole@email.uky.edu))

Angel Schumacher, Graduate Program Administrative Assistant (MN 225, 3-5155, [aschu3@email.uky.edu](mailto:aschu3@email.uky.edu))

## **PROGRAM REQUIREMENTS**

### **ACADEMIC COURSE REQUIREMENTS**

#### **First Year**

Each student must complete a minimum of 9 credit hours per semester of graduate level coursework to qualify as a full-time graduate student. For first year students this is accomplished by completing the required Interdisciplinary Biomedical Sciences (IBS) core curriculum. The core curriculum includes elements of anatomy, biochemistry, cell biology, genetics, molecular biology, neurobiology, physiology and pharmacology and is designed to provide students with a common basic background in all of the biomedical sciences. Students are expected to maintain a “B” or better average (GPA of 3.0) for all IBS courses to be eligible for promotion to the second year. Details about the IBS courses are described below.

NOTE: PLEASE SEE COURSE CATALOGUE FOR MOST UPDATED COURSE OFFERINGS

#### **Required Core Interdisciplinary Courses for First Year Students**

### Fall semester

IBS601 Biomolecules and Metabolism	3 cr.
IBS603 Cell Biology	3 cr.
IBS605 Experimental Genetics	3 cr.
IBS607 Seminar in Biomedical Science	0 cr.
IBS609 Research in Biomedical Science	1 cr.
TOTAL = 10 credits	

### Spring semester

IBS602 Biomolecules and Molecular Biology	3 cr.
IBS604 Cell Biology and Signaling	3 cr.
IBS606 Integrated Biomedical Systems	4 cr.
IBS607 Seminar in Integrated Biomedical Science	0 cr.
IBS 609 Research in Biomedical Science	1 cr.
TOTAL = 11 credits	

**Faculty Interviews.** Each first-year student is required to interview faculty members whose research interests them. Following these interviews, students identify rotation mentors for IBS rotations.

**Laboratory rotations.** The purpose of lab rotations is to provide opportunities for students to experience and participate in varying research laboratories. First-year students are required to complete four rotations in three different labs during their first academic year before choosing a lab and advisor for their dissertation research. The general goals of the rotations are for the student to experience research as carried out in three different labs, to begin to develop attitudes and a work ethic consistent with those of a professional scientist and to learn time management skills. To obtain credit for this activity, students register for Research in Biomedical Science - IBS609- in the fall and spring semesters. Generally, a rotation period is 8-10 weeks. Each rotation mentor is expected to communicate the expectations for the rotation to the student. Lab rotation faculty will provide a written evaluation of each student's accomplishments and development following the rotation using the form available from the IBS office. These evaluations are available to the student and to any potential dissertation advisors and are filed in the student's record.

## **Second Year**

Students select a dissertation advisor from faculty of the doctoral programs participating in IBS. The selected dissertation advisor must agree to accept the student for dissertation

research. The acceptance of a student for dissertation research in the Department of Anatomy and Neurobiology must be reviewed and approved by the Graduate Program Committee before dissertation work may begin. The student and advisor will select graduate elective courses and research experiences for the second year based on the needs and interests of the student.

### **Required Courses for Second Year Students in Anatomy and Neurobiology**

#### **Fall semester**

ANA636 Advanced Neuroanatomy (MD814 Medical Gross Anatomy: Leg, Head and Neck only)	4 cr.
ANA600 Seminar in Anatomy (Experimental Design and Statistics)	1 cr.
ANA 780 CNS Injury and Repair or equivalent*	3 cr.
Elective courses or ANA 790 Research	1 cr.

TOTAL = 9 credits or more

\* In applicable years, the student, in consultation with their dissertation advisor, may select one other elective course to substitute for this course. ANA 790 should be used to make up the difference in credit hours if the substituted course is less than 3 credit hours.

#### **Spring semester**

ANA516 Selected Topics in Neurobiology (ANA636 Medical Neuroscience)	3 cr.
ANA710 Neurobiology of Aging and CNS Disorders	3 cr.
ANA600 Seminar in Anatomy (Professional Development)*	1 cr.
Elective courses or ANA 790 Research	2 cr.

TOTAL = 9 credits or more

\*This course is still under discussion and may not be offered in the Spring

At least 18 graduate credits must be completed during the second year to total at least 36 graduate credits for the first two years. ***A student must have a 3.0 Graduate GPA as a requirement to take the Qualifying Examination in the third year.*** Students on Academic Probation from the Graduate School will not sit for their qualifying exams in the fall of their 3<sup>rd</sup> year. Any incomplete (I) grade must be resolved within one year. "I" grades are assigned in accordance with Graduate School rules. In order to take the qualifying examination, all "I" grades must be cleared from the student's record.

*The student and dissertation advisor (major professor) must form the student's Advisory Committee **prior to September 1<sup>st</sup>** of the student's second year in the graduate program.*

### **Third Year**

University graduate residence requirements must be fulfilled after completing the qualifying examination. Students first enrolled in a doctoral program in the fall 2005 semester are required to enroll in ANA 767 – Dissertation Residency Credit (2 cr.). Students will remain enrolled in this course until defense of their dissertation in order to constitute full-time enrollment. Students must complete a minimum of 2 semesters of ANA 767 prior to graduation. Students should enroll in ANA600 Seminar in Anatomy (1 cr.) for both Fall and Spring semesters, which will cover topics in experimental design, statistics and professional development.

### **Fourth Year and beyond...**

Students will register for ANA 767 until defense of their dissertation.

### **ELECTIVES**

Elective coursework may be chosen from the advanced courses offered in Anatomy and Neurobiology or from graduate level courses in Biochemistry, Microbiology and Immunology, Pathology, Pharmacology, Physiology and Biophysics, Biology, Pharmacy, and Statistics. The Doctoral Program requires sufficient formal graduate course electives be taken to satisfy the overall credit-hour requirements. *Students should choose electives carefully through consultation with their dissertation advisor and advisory committee to insure that they receive a well-rounded education in areas important to their professional and research interests.*

### **DEPARTMENTAL SEMINARS**

The Department sponsors weekly research seminars which provide an excellent opportunity for students to get an appreciation for the depth and breadth of neuroscience research. All departmental graduate students are required to attend these seminars unless excused by the Seminar Program Director or Director of Graduate Studies.

### **DEPARTMENTAL PRESENTATIONS**

Graduate students are required to give presentations each year within the program. The presentations reflect research conducted by the graduate student or original scholarly work (such as discussion / critique of journal articles or a body of literature relevant to the student's area of research). The presentation is an opportunity for the student to gain experience in giving professional oral presentations and to receive constructive feedback from the primary advisor(s), advisory committee and other faculty within the department. The primary advisor(s) must be present for the presentation. For each student presentation, a panel will be assigned to give focused and immediate feedback to the student. The panel will consist of the primary advisor(s), one committee member and a non-committee faculty member from the department assigned by the Director of Graduate Studies. **The presentation slides must be original slides prepared by the student** – slides created by the primary advisor(s), other lab members or collaborators cannot be used (except in the case of a complicated methodological description; in this case, the individual(s) who created the slide must be acknowledged). Slides may be created based on existing slides, but the content of the slides must be

changed by at least 25% from the original. In each year of the program, the presentations will progressively increase in length, according to the following schedule:

*2<sup>nd</sup>-Year students* (1<sup>st</sup> year in the Department) will be required to give a 15 minute presentation (10-12 minutes of slides and 3-5 minutes for questions, approximately 8-10 slides in length) on a topic, a paper or a set of papers. The presentation will be given in the Departmental Seminar series in the Spring or at the Departmental Retreat.

*3<sup>rd</sup>-Year students* (2<sup>nd</sup> year in the Department) will give at least one 15 minute presentation at a department seminar or retreat in the form of a platform presentation that might be given at a scientific meeting (10-12 minutes of slides and 3-5 minutes for questions, approximately 8-10 slides in length). The presentation is based on research conducted by the student in their current lab. Any experiments conducted to date can be presented, even if the experiments did not work as expected. Plans for future research / dissertation work and follow-up studies should be presented.

*4<sup>th</sup>-Year students* (3<sup>rd</sup> year in the Department) will give at least one 15-to-25-minute presentation at a department seminar or retreat. The length of the talk will be determined by the format of the presentation venue (longer if part of the departmental seminar series; shorter if part of the departmental retreat). It will consist of the talk and 5 minutes for questions. The content of the presentation reflects dissertation research conducted by the student in their current lab and should include specific aims, background (how key papers are tied into the student's research topic), hypotheses, design and results. Any experiments conducted to date can be presented, even if the experiments did not work as expected. Plans for future research / dissertation work and follow-up studies should be presented.

*5<sup>th</sup>-Year students* (4<sup>th</sup> year in the Department) and beyond will present a complete 50-minute talk in the form of a department seminar. The content of the presentation reflects dissertation research conducted by the student in their current lab and should include specific aims, background (how key papers are tied into the student's research topic), hypotheses, design and results. Data should be presented in a logical order that begin to tell a cohesive story about the research. Plans for future research and follow-up studies should be presented. Students are not required to present a seminar in the spring of their final year if defending their thesis within 6 months of June 30<sup>th</sup>.

Seminars are scheduled with the faculty member currently acting as Seminar Program Coordinator and Ms. Schumacher, keeping in mind that the primary advisor(s) must be present for the presentation unless excused by Dr. Gash.

## **LANGUAGE REQUIREMENTS**

Proficiency in English is required for a doctoral degree in Anatomy and Neurobiology.

## **TEACHING REQUIREMENTS**

*All graduate students within the department must have one unit of teaching experience. A unit of teaching experience is defined as:*

- one semester as a Teaching Assistant in the Medical Neuroscience course (ANA516) in the Spring semester (attend all neuroanatomy lectures, assistance with labs)
- two semesters as a Teaching Assistant in undergraduate courses (ANA109/110, 209-001, 209-201; attend all lectures, hold review sessions, assist with proctoring exams and grading for classroom sections; answer student emails and assist with grading for online sections)

The Director of Graduate Studies, in consultation with course directors, will assign each student their one unit of TA responsibility. The student must attend the university-sponsored TA-orientation program, prior to beginning the TA assignment. The TA assignments will typically occur during the third year. However, in years where the number of 3<sup>rd</sup>-year students is not sufficient to meet the teaching needs of the department, 4<sup>th</sup>- or 5<sup>th</sup>-year students will be assigned TA-ships. There is no additional compensation for the TA assignment although an official TA-ship may be available to cover tuition charges. TA responsibilities generally include: attending all classes and offering review sessions prior to exams in the course, assisting with proctoring of exams, grading exams, serving as a lab instructor and possibly other duties related to classes taught by Department of Anatomy and Neurobiology faculty. If the student is interested in a teaching track career (in consultation with their dissertation advisor and course directors) they may assume additional responsibilities in a class - including preparing and presenting lectures. A list of teaching assistant possibilities may be obtained from the Director of Graduate Studies.

In addition to the Teaching Assistant requirement, graduate students will be asked to assist with exam proctoring for large-format courses. Proctoring assignments of the academic year will be made by the Director of Graduate Studies in consultation with course directors. All graduate students will be available to help with proctoring for up to four semesters. Proctoring duties include passing out written exams to students and proctoring while students are taking exams.

### THE ADVISORY COMMITTEE

*The student is responsible for completion of the "Advisory Committee Request" form* (download from Graduate School website <http://www.rgs.uky.edu/gs/>). The completed form will be entered electronically into the Graduate School database by the Director of Graduate Studies and submitted for approval to The Graduate School. A copy of the approved form will be added to the student's file in the Department office. The Advisory Committee reviews all aspects of the student's program and progress including completed elective courses, academic performance, professional behavior, TA assignments, etc. The student's dissertation advisor, the student, or the Director of Graduate Studies can call an Advisory Committee meeting. The Director of Graduate Studies is a non-voting member of all Advisory Committees.

A dissertation advisor (major professor) must be identified prior to beginning the second-year of the doctoral program. The dissertation advisor and the student select members of the advisory committee following Graduate School regulations. The major professor (dissertation advisor) typically chairs the Advisory Committee. The composition of the advisory committee must follow the criteria established by the graduate school:

The Advisory Committee has a core of **five** members. The core consists of the Major Professor as Chair, at least two other members from the major area, and at least one member from any minor area(s), usually the one required member from outside the department of Anatomy & Neurobiology. In addition, all members must be members of the Graduate Faculty at the University of Kentucky and three (including the Major Professor) must possess Full Graduate Faculty status. Associate members may co-direct dissertation research with a full member of the Graduate Faculty. Faculty members who do not hold Graduate Faculty status may serve as *non-voting members* of the Advisory Committee. The core of the Advisory Committee must be kept at its full complement throughout the graduate career of the individual student. In the event of a vacancy on the Committee, an appropriate replacement must be made, *and approved by The Graduate School by resubmitting the official form and checking the "revised committee" box*, prior to making any committee decisions.



The student must meet with members of the Advisory Committee every 6 months. The Department of Anatomy and Neurobiology mandates biannual meetings, to review the student's progress. The student is responsible for writing a brief summary of each meeting, in which the major points made by committee members are outlined, and attaching it to the departmental form “**6-month Committee Meeting Documentation.**” If all faculty members approve of the student proceeding with dissertation or degree requirements (as indicated by signing the form), then the DGS will sign off on the form and it will be placed in the student's file. If any faculty member does not indicate approval for the student to proceed with dissertation or other degree requirements, the issues must be worked out between the student and the committee member(s) who disapprove, and the advisor, if necessary. In this case, a clear, documented plan must be drafted and circulated among committee members along with the attached form. The form must be signed by all committee members prior to the DGS signing off on it. Copies of this form and summary minutes must be provided to the student, the dissertation advisor, Advisory Committee members and the Director of Graduate Studies at their request. The goal of this twice annual evaluation is to protect everyone involved from misunderstandings, misdirectives, etc. and help keep the student (and the Advisory Committee) well informed of the progress and direction of the student's project. ***This biannual evaluation is strictly enforced.***

## STUDENT EVALUATION

Student performance will be evaluated biannually; one of these assessments *must be* following the student's annual spring departmental seminar. ***It is the student's responsibility to set up these meetings, while also notifying Ms. Schumacher.*** The Graduate Program Staff Assistant (Ms. Schumacher) will contact the student to remind them that they need to do this. Acceptable academic progress for all doctoral students in Anatomy and Neurobiology have been outlined as follows:

- A “B” average in IBS core curriculum courses in year one
- Grade of "A" or "B" in all Anatomy and Neurobiology courses
- An overall coursework GPA of 3.0 or above
- Attendance and participation in departmental seminars and journal clubs
- Demonstration of development of a scholarly attitude toward accumulation of advanced knowledge and research in the anatomical/neurobiological sciences. This can be demonstrated by continued development of the professional and technical skills expected of a researcher and teacher.
- Appropriate interaction and cooperation with other students, staff, and faculty as expected of a professional scientist and teacher.

*The student may not sit for the qualifying examinations until all of the above criteria are met to the satisfaction of the Graduate Program Committee and the Department of Anatomy & Neurobiology. Successful completion of the criteria may involve the retaking of ANA courses in which a “B” or better was not earned or passing a remediation/mastery exam to be arranged with the respective course coordinator(s). In either case, the failing grade (“C” or lower) must be replaced with a “B” or higher within one-year of earning the original grade.*

Second-year students will be evaluated to determine whether or not ‘good progress’ is being made, following the completion of each semester in the program by the Graduate Program Committee. The

Director of Graduate Studies will report evaluations to the Graduate Faculty. If progress is judged as unsatisfactory by faculty majority vote, the student may be terminated from the program. The student may appeal this decision directly to the Graduate Faculty of the Department through the Director of Graduate Studies, explaining their problem(s) or any extenuating circumstances. Following this appeal the Graduate Faculty will vote again. A second negative vote is final. If the second vote allows the student to continue in the program, the Director of Graduate Studies will inform the student of what they must do to redress deficiencies. In this case the student's progress will be reviewed again following his/her second semester midterm exams or some other agreed upon date.

Advanced graduate students, must continue the academic performance and development of scholarly and professional attitudes outlined above and will be regularly evaluated by his/her advisor and Advisory Committee. An important component is the development of a dissertation prospectus under the guidance of the student's advisor and Advisory Committee. Students generally graduate in 4-5 years, but must complete their degree within 8 years of entering the IBS program.

## QUALIFYING EXAMINATION AND RESEARCH PROSPECTUS

*The student is responsible for completing and filing a copy of the "Recommendation for Qualifying Examination" form* (download from - [www.rgs.uky.edu/gs/](http://www.rgs.uky.edu/gs/)). This form must be signed by the Director of Graduate Studies and submitted to the Graduate School ***at least two weeks before the examination***. A copy should be provided for the student's file in the Department office. ***The examination should be scheduled within the first six weeks of the start of the third year***, in order to maintain adequate progress towards graduation. The Graduate School mandates successful completion of the Qualifying Examination within 5 years of entry into the program – or the student will be dismissed from the program. The Advisory Committee may require conditions, such as additional coursework or reexaminations, before granting a passing grade for the Qualifying Examination. The student is a candidate for the Ph.D. degree following the satisfactory completion of the Qualifying Examination.

A student's ability to conduct independent research is evaluated on the basis of the research prospectus and Qualifying Examination. The prospectus is prepared by the student with the guidance of the dissertation advisor and should describe the course of action, including rationale and methodology, for the proposed research. The prospectus will be written in the form of a predoctoral NIH grant application (*Ruth L. Kirschstein National Research Service Award (NRSA) Research Training Grants and Fellowships*) that will be submitted to federal agencies or private foundations. *Copies of the completed grant application must be made available to Advisory Committee members at least two weeks before the examination.* Updated NIH forms and information are available online: <http://grants2.nih.gov/training/nrsa.htm>

The student's Advisory Committee administers the Qualifying Examination in accordance with The Graduate School rules. This examination consists of written (the research prospectus) and oral components. The oral examination focuses on the student's preparation for research. Thus, advanced coursework, the general area of proposed research, and the dissertation prospectus serve as subject matter for the examination. The Advisory Committee determines whether or not the student has passed the Qualifying Examination by majority vote.

## DISSERTATION

Dissertation research is performed under the guidance of the student's advisor, with the advice and consent of the student's Advisory Committee. *The student is responsible for ensuring that the*

*Advisory Committee is informed about the progress of dissertation research.* Dissertations must be prepared in accordance with The Graduate School guidelines. Copies of the **format for preparation of the dissertation** can be downloaded from the Graduate School web site at - [www.rgs.uky.edu/gs/](http://www.rgs.uky.edu/gs/). All core members of the Advisory Committee must read the dissertation before signing the dissertation approval form. The student must submit the dissertation to all Advisory committee members six weeks prior to the desired approval date. The committee may require changes and revisions in the dissertation before approval and scheduling of the dissertation defense. The committee members shall provide feedback and revisions within two weeks. The student then has two additional weeks for revisions, if needed. At this point, a majority of Advisory Committee members must agree that the form and substance of the dissertation are adequate to justify scheduling a dissertation defense. ***A Dissertation Approval form must be completed and submitted to the Director of Graduate Studies.***

## **THE FINAL EXAMINATION – DISSERTATION DEFENSE**

*The student is responsible for completing and filing a “Notification of Intent to Schedule the Final Examination” form.* The form can be downloaded from the Graduate School website ([www.rgs.uky.edu/gs/](http://www.rgs.uky.edu/gs/)) ***and must be submitted to the Graduate School at least eight weeks before the proposed examination date.*** Following the submission of this form, the Graduate School will appoint an outside examiner. ***The Graduate School must approve the specific time and date of the examination at least two weeks before the intended exam date.*** A ***“Request for Final Doctoral Examination”*** form must be file with the Graduate School.

Final examinations may not be scheduled later than 8 days before the end of the semester in which the student expects to graduate. Exams may not be scheduled on University holidays, during the periods between semesters or during the period between the end of the eight-week summer session and the beginning of the fall semester.

The dissertation defense consists of a formal research seminar and discussion, followed by a dissertation examination by the student's expanded Advisory Committee; the expanded committee includes the outside member from the University Graduate Faculty. This individual is appointed by The Graduate School (see above). Normally, the student's dissertation advisor will chair the expanded Advisory Committee. The full dissertation examination committee votes to approve, or not approve the dissertation defense by majority vote. The defense is open to the public and must be advertised in accordance with Graduate School requirements. Final copies of the dissertation, with mandated changes and corrections completed, must be delivered to The Graduate School within 60 days following the final examination.

## **PROFESSIONALISM**

Professionalism is expected of our students. This can be defined as demonstrating the following:

- The student is expected to maintain an academic GPA greater than 3.0 and earn no less than a “B” in all ANA coursework, to ensure that they are able to sit for Qualifying Examinations - or tuition costs are incurred.
- The student is expected to follow the direction and timetable established by his/her dissertation advisor and Advisory Committee in completing research and the graduate program.

- The student is expected to discharge all duties assigned by the department and agreed to by the student and his/her Advisory Committee.
- The student is expected to demonstrate ethical behavior applying to all aspects of academic life – classroom and laboratory. Cheating, lying, plagiarism and taking more vacation time than allotted are all considered to be violations of ethical behavior.

## **POLICY ON OUTSIDE EMPLOYMENT**

Stipends are provided to cover living expenses for students pursuing a graduate degree and are considered to be salary. *Outside employment is strongly discouraged* as it interferes with the student's ability to obtain optimal training. Provided the graduate student continues to fulfill program requirements, limited outside employment may be permissible but must be *approved by the student's dissertation advisor, the Graduate Program Committee and Dr. Pat Whitlow in the Graduate School*. Approval of outside employment will be re-evaluated on a yearly basis. By accepting an assistantship or fellowship, the student takes on the responsibility of devoting adequate time to completion of program requirements. Students should recognize that outside employment may delay completion of the degree to the point that the stipend may be discontinued. Moreover, if a student chooses to take on employment that is judged by the Graduate Program Committee to reduce their ability to fulfill program requirements, the Departmental stipend will not be paid for that period of time.

## **TRAVEL AND RESEARCH SUPPORT**

The Graduate School provides support for conferences and research related travel. Students may apply for one conference or research award per fiscal year. Additional information and the application form can be found on The Graduate School website at: <http://www.rgs.uky.edu/gs/fellowship/studentsupport.html>. The department may also provide assistance for selected travel. The form: [http://www2.mc.uky.edu/neurobiology/gradstud\\_travel.asp](http://www2.mc.uky.edu/neurobiology/gradstud_travel.asp) once completed must be signed by the Director of Graduate Studies and the Department Administrator.

### **External Fellowship Application Award (EFAA)**

To encourage qualified UK graduate students to seek external fellowship support The Graduate School has created the External Fellowship Application Award. Up to 50 eligible graduate students will receive \$150 for completing the application process for one of the fellowships on the designated list or, with approval, other external fellowships of equivalent magnitude. The award does not depend on the success of the proposal. Awards will be posted directly to the graduate student's account. For more specific information please see the information on their website (<http://www.rgs.uky.edu/gs/fellowship/EFAA.html>). This makes for great practice in preparing your Research Prospectus for your Qualifying Examination as well as future grant applications.

Please visit The Graduate School website for more information on any of the issues in this handbook: <http://www.rgs.uky.edu/gs/>

***Interpretation, clarification and effectuation of the contents of this handbook is at the discretion of the Graduate Committee and the Department of Anatomy & Neurobiology.***

Revised September, 2009.

I, \_\_\_\_\_ (please print), have read and understand that I  
am fully responsible for the complete content of the **2009 - 2010 GRADUATE STUDENT  
INFORMATION AND GUIDELINES HANDBOOK.**

\_\_\_\_\_  
**Student Signature**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Director of Graduate Studies**

\_\_\_\_\_  
**Date**

**DEPARTMENT OF ANESTHESIOLOGY**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURE**

**I. BASIC PROCEDURES:**

Faculty Involvement in Educational Policy Making:

1. Academic Requirements -- The department faculty have primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules. The department follows the education policies established in the Administrative Regulations, AR:8, .B4 regarding policies to serve public service functions.
2. Courses of Study -- See Academic Requirements above.
3. Class Schedule -- See Academic Requirements above.
4. Post Graduate Program -- The Department of Anesthesiology is accredited by the ACGME for a four-year anesthesia residency training program. 1) The Department Chair will appoint the Program Director of Residency Training. 2) The Program Director initiates the curriculum for the residents' educational program, plans the instruction and outlines the rules or procedures. The Program Director, with the participation of those faculty members who are asked to help, will run the educational course. 3) Decisions about admission to the postgraduate education program are made by a Selection Committee consisting of faculty members, as appointed by the Department Chairman. 4) Trainees are evaluated on a quarterly basis by faculty members with whom the individual has worked during that period.
5. Research Programs -- The department has instituted a research development initiative whose two-fold purpose is to: 1) facilitate research starts within the department with strong but not exclusive emphasis on younger faculty and residents; and 2) encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs.
6. Service Functions -- Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care.

Faculty Involvement in Developing Procedures for the Following Areas:

The membership of the departmental faculty consist of the chair, full- and part-time faculty. Tenured and tenured track faculty possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. (Tables attached)

1. Appointing Faculty Members -- Applications for faculty membership will be received and reviewed by the Chairman and will be judged on the basis of training, Board eligibility/certification and references, as well as clinical service needs of the Department. Applicants may be invited for a personal interview with department faculty, including but not limited to, the tenured faculty members. Faculty involved in the interview process will

have the opportunity to confidentially evaluate the candidate. The Department Chairman will review all evaluations received.

The Department Chairman will make formal job offers and inform the faculty of offers made and accepted or rejected by the candidates.

2. Reappointments -- All tenured faculty members in the Department shall participate in the review process for reappointments of non-tenured faculty. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.
  3. Terminating Faculty -- The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department and with all full-time, non-tenured members of the department (except those appointed in the research title or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years.
  4. Decisions to not Reappoint -- See Reappointment requirements above.
  5. Post-Retirement Appointments -- See Reappointment requirements above.
  6. Granting Tenure -- College of Medicine rules govern the promotion of tenured faculty.
  7. Faculty Performance Evaluations -- All department faculty members will be evaluated on an annual basis. Faculty Performance Evaluation Forms approved and distributed through the College of Medicine Dean's Office will be used for the evaluation. Each department faculty member will prepare and submit his/her self-evaluation and proposed goals for the next year prior to meeting individually with the Department Chairman. The Department Chairman as part of the evaluation process will review medical student and resident evaluations.
- The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty members.
- The Chair will discuss junior faculty performance with senior faculty for the two and four year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before the senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.
8. Preparation of Budget Requests -- The Chair of the Department is responsible for budget preparation in accordance with department's practice plan and the process developed by the college, Medical Center and the University.
  9. Establishing Rules -- Rules will be proposed for all voting members consideration and a two-thirds majority vote will be required for approval.
  10. Modifying Rules -- see Establishing Rules above.
  11. Copies of Rules to All Faculty -- All Regulations and Rules and Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff.

## II. MEETINGS:

Regularly Scheduled -- Faculty meetings convene for regular and special meetings. A regularly scheduled faculty meeting will be convened monthly except in the absence of the Chairman or when the meeting date falls on an official University Holiday. The Chairman may designate an alternate date when deemed appropriate.

Number needed to Request a Special Meeting -- the Chairman can call a special faculty meeting. A voting member can request the chairman to call a special meeting by submitting a written request that briefly describes the issue(s) for which the special meeting is being convened. The Chairman shall call the meeting within 48 - 120 hours.

Quorum Necessary for Transaction of Business -- A quorum exists at each meeting when two-thirds of the voting members are present. Issues discussed at any one meeting can be voted upon at the same meeting. On routine issues an absolute majority vote is decisive. On issues involving fundamental changes in the clinical, educational or other policies of the Department, a two-thirds majority vote will be necessary.

Presided over by Chair or Delegate -- Faculty Meetings shall be chaired by the Department Chairman or his designated alternate.

Minutes Available to Faculty -- Minutes of each meeting will be kept. Minutes will be circulated to the membership with the agenda prior to the next regularly scheduled Faculty Meeting. Minutes shall be approved at the next meeting.

Notification of Meetings -- The Chairman shall establish the agenda and distribute it to the membership at least 24 hours prior to the meeting. Any member can request an item be placed on the agenda by submitting it in writing to the Chairman's office in time that it can be placed on the agenda prior to distribution to the membership.

Voting Policy - Voting members include full-time, part-time, and joint appointee professors, associate professors, assistant professors and instructors. The chief resident(s) may be invited by the faculty to vote on matters that pertain to them.

Conformity to Open Meeting Act -- The Department of Anesthesiology complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### III. COMMITTEES:

The Department Chairman may establish Ad hoc or other special committees with specific charges.

Purpose -- Department Committees will be established to recommend policies and review practices in the areas of education, research, clinical care, quality assurance, finance and resident clinical competence.



## Membership

1. Selection -- The Department Chairman shall make all committee assignments.
2. Composition -- Department faculty members and Chief Resident(s) will constitute the membership of all department committees.
3. Length of Service of Members -- The Department Chair shall appoint the Committee Chair after consultation with department faculty members. The Committee Chair shall serve for one year and may be reappointed annually. Department committee members serve for one year and may be reappointed annually or as deemed appropriate by the Department Chair.
4. Chair Ex Officio Members -- The Department Chairman will serve as an ex-officio member on all departmental committees with the exception of the Clinical Competence Committee where the American Board of Anesthesiology expressly forbids participation of the Department Chairman.

Frequency of Meetings -- Department committee meetings will be held regularly.

## IV. FACULTY PERSONNEL ACTIONS:

Distribution of Effort -- The Department Chair, in consultation with the faculty member, determines the annual distribution of effort assignment. Both the faculty member and the Department Chair sign the Distribution of Effort Assignment form.

Evaluation of Faculty Performance -- Each department faculty member will prepare and submit his/her self-evaluation and proposed goals for the next year prior to meeting individually with the Department Chairman. The Department Chairman as part of the evaluation process will review medical student and resident evaluations.

Appointments/Reappointments -- After permission to recruit from the Dean, faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. The Chair will request letters from faculty. The Chair will make a decision after reviewing all input from faculty.

Promotion -- The Chair will periodically review, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions that could enhance their progress.

Tenure -- See Promotion regulations above.

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

## V. ACADEMIC MATTERS:

Academic Advising -- Department faculty serve as academic advisors as interest and clinical activities allow.

Curriculum -- the Department Chairman will appoint The Course Directors for the medical student electives. The Course Directors initiate the curriculum for the medical student educational program, plan the instruction and outline the rules or procedures and method of grading. The Directors, with the participation of those faculty members who are asked to help, will run the courses. The Course Directors will decide the final grade and sign the grade sheet.

Class Schedules -- Schedules will be decided by the Course Directors after consultation with department faculty members.

Evaluations of Courses -- All students will be provided the opportunity to evaluate individual faculty and the course as a whole.

#### VI. BUDGET PREPARATION:

A budget for the Department shall be prepared and established in accordance with the Department's Plan that defines the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Chair, in consultation with the "Committee of the Whole", and, upon completion, will be presented to the Committee by the Chair.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan.

#### VII. STUDENT PARTICIPATION:

Number of Students Involved -- Student participation will be considered on a case-by-case basis.

Method of Selection for Committees -- See above.

**DEPARTMENT OF BEHAVIORAL SCIENCE**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURE**

In this document, “faculty” refers to the chair and full- and part-time faculty with primary, tenure-track and non-tenure track appointments in the Department of Behavioral Science, unless otherwise specified.

Rules of Procedure for Department faculty are superseded by governing and administrative regulations of the University of Kentucky.

All Regulations and Rules of Procedures manuals are maintained in the Department Administrator’s office and are available for review by all Department faculty and staff.

**I. BASIC PROCEDURES:**

Faculty Involvement in Educational Policy Making:

1. Academic Requirements – The Department faculty have primary responsibility for the development of educational policies related to its academic programs, courses of Human Subjects Compliance and Safety Committee study, and class schedules. These policies recognize the interactions among teaching, research and service.
2. Courses of Study – See Academic Requirements above
3. Class Schedule – See Academic Requirements above
4. Graduate Programs – The graduate program faculty meet periodically to discuss program training, evaluations of students, and student recruitment selection.
5. Research Programs – The faculty make all decisions that relate to the setting of research priorities for the Department and in relation to procedures that support the conduct of departmental research.
6. Service Functions – Department faculty serve the University of Kentucky on departmental, college, and university committees, their professional disciplines, and the Commonwealth of Kentucky and its citizens, with attention being given to assure a proper balance between service, education and research.

Faculty Involvement in Appointment, Promotion and Tenure:

The departmental procedures are consistent with those identified in the “UK COM Procedures for Appointment, Promotion and Tenure” booklet. The definitions of scholarship and excellence as used by the department are defined and the guidelines for promotion are based on these definitions, unless otherwise specified.

1. Appointing Faculty Members – The Department Chair shall consult all Department faculty members for input before new faculty appointments are made. Written letters of support are provided by Department tenured faculty members. The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have and initial appointment in that center.

2. Reappointments – All tenured faculty members in the Department shall participate in the review process for reappointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.
3. Terminating Faculty – The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the Department and with all full-time, non-tenured members of the Department (except those appointed in the research title or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the Department for two years.
4. Decisions to not Reappoint – Same as Reappointments above
5. Post-Retirement Appointments – Same as Reappointments above
6. Granting Tenure – All tenured faculty members in the Department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a Multidisciplinary Research Center shall also participate for those faculty members with such appointments. The Chair shall consult with and seek the support of the tenured faculty when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty. Written letters of support are provided by the Department tenured faculty through the Department Chair to the College of Medicine's Appointment, Promotions, and Tenure, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

**Tenured Faculty Meeting:** The Department Chair shall call a special meeting of all tenured faculty members for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

**Faculty Participation:** Faculty being considered for promotion or review of tenure progress shall be notified by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vita to the Chair one week prior to the scheduled meeting. Faculty members are encouraged to submit additional data at the time of annual reviews and shall have the privilege of dissent from the judgment of their peers on those and other matters in accord with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. Faculty Performance Evaluations – The Chair will discuss junior faculty performance with senior faculty for the two- and four-year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before the senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine requires an annual faculty performance review with an updated CV, teaching portfolio, and faculty database for all non-tenured full-time faculty. Tenured faculty may choose to skip the formal review process during the second year of the biennium.

#### Faculty Involvement in Developing Procedures for the Following Areas:

1. Preparation of Budget Requests – The Chair of the Department is responsible for budget preparation in accordance with the process developed by the college, Medical Center, and the University.
2. Establishing and Modifying Rules – When faculty decides that a new rule is needed or that an existing rule should be modified, all full-time faculty holding primary appointments in the Department are encouraged to participate in discussion at the department meeting. Efforts toward consensus are made, and the majority rules.

## II. MEETINGS:

Regularly Scheduled – The faculty shall convene at least once a month. Any member may request an item to be placed on the agenda by submitting the item to the Chair's office prior to the next scheduled meeting.

Faculty Meetings Members - Faculty meeting members include the faculty, administrative assistant, graduate student representative, postdoctoral fellows, and Department Administrator. Other faculty (adjunct, joint, research, retired, emeritus, voluntary) may also attend department meetings.

Number Needed to Request a Special Meeting – Special meetings may be called by the Department Chair or designee or upon call by three (3) voting members or twenty percent (20%) of the voting members, whichever is larger. The Chair shall call the meeting within two weeks.

Quorum Necessary for Transaction of Business – Action taken at meetings shall require approval by a majority vote of faculty members present and voting. One more than half of the eligible tenure-track faculty members constitute a quorum.

Presided over by Chair or Delegate – The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

Minutes Available to Faculty – Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the Department. Minutes may be amended at the next scheduled meeting if necessary.

Notification of Meetings – Notification of the meeting place and time is made by e-mail.

Voting Policy – The Department of Behavioral Science has adopted a procedural format which specifically excludes the use of formal motions or formal rules of order until issues under consideration have been fully aired through free and open discussion and there is

clear and mutual understanding of each member's position. Recognition of consensus or a majority viewpoint is accepted except on matters wherein University regulations require or a member requests a formal vote. When a formal vote is required, all full-time faculty members with tenure-track, primary appointments in the Department of Behavioral Science and emeritus faculty who are actively involved in the programs of the Department are eligible to vote, unless otherwise specified. Every reasonable effort is made to obtain the vote of all those who are eligible; the majority rules. All other members of the Department are encouraged to provide advice to the faculty prior to the faculty vote.

Conformity to Open Meeting Act – The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to the University policy.

### III. COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees. The Department has one standing committee:

#### **Human Subject Compliance and Safety Committee**

This committee monitors problems with compliance with Human Subject and Safety guidelines and IRB regulations for departmental research projects. It is composed of the Department Chair and two faculty appointed by the Chair and meets annually or more frequently at the discretion of the Chair.

### IV. FACULTY PERSONNEL ACTIONS:

Distribution of Effort – Distribution of Effort Assignments: The Chair, in consultation with the faculty member, determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

Evaluation of Faculty Performance – Annual Performance Evaluation: During the last two months of each calendar year, as required by governing regulations and the Dean of the College of Medicine, the Chair conducts performance evaluations of all full-time faculty. At that time, the Chair distributes an activities reporting form that invites enumeration of a variety of activities relevant to all areas of required evaluation. The Chair reviews reporting forms, current CVs, student evaluations, and personnel files for all other evidence bearing on performance. The Chair rates the applicable categories and writes a narrative highlighting selected areas of performance. Individual faculty members and the Chair meet to discuss the performance ratings before forwarding the documents to the Dean for further review. Two- and four-year Reviews of Untenured Faculty: The required reviews of untenured faculty occur shortly after the completion of the second and fourth years of the pre-tenure period. The tenured faculty members review the relevant CVs and meet as a group with the Chair to offer comments on progress of the candidates toward tenure. These comments are compiled by the Chair and incorporated into letters which are then discussed individually with pre-tenure faculty. Copies of these letters are forwarded to the Office of the Dean. The emphasis in these reviews is on advice that will enable candidates to develop the strongest possible case supporting eventual promotion and achievement of tenure.

Appointments/Reappointments – After permission to recruit is received from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input will be confidential to the extent permitted by law. Letters from faculty members will be requested by the Chair. The Chair will transmit the faculty's decision to the Dean.

Reappointment/Terminal Reappointment/Non-reappointment – Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may present their case in writing to the full faculty meeting. Letters from faculty members may be requested by the Chair. The Chair may call a special meeting of all tenured faculty members as appropriate. The decision is determined by a majority vote of the faculty.

Promotion – Annually, the Chair reviews CVs of all who are eligible for tenure or promotion and presents them to the tenured full professors of the Department. When they judge that individuals may be ready to be proposed for promotion by the Department, the Chair discusses that prospect with the candidates. The initiative is then brought to the entire tenured faculty for discussion and a decision. If the tenured faculty members decide to propose promotion or tenure, the Chair discusses with the candidates the preparation of the strongest possible dossiers. With advice from the candidates, the Chair initiates requests for letters of support from all but the tenured faculty, who will submit letters after they have read the comments from the outside referees. Untenured faculty and selected graduate students and postdoctoral fellows are also invited, though not required, to write letters of comment on the candidates after reviewing outside letters. If the tenured faculty members decide not to propose promotion or tenure, candidates are invited to present written materials for consideration by the tenured faculty supporting an initiative to propose promotion or tenure. The tenured faculty will reconsider its decision in light of the candidates' new information.

Tenure – same as for promotion

Standard Personnel File - The Standard Personnel File is maintained in the Dean's Office. The department maintains a separate departmental personnel file for each faculty member.

Review of the Department Chair - Every two years the COM Dean electronically sends out surveys to departmental faculty and staff regarding the Chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

## V. ACADEMIC MATTERS:

Academic Advising – Medical and graduate student advising is accepted when a student request for advising is judged appropriate by the individual faculty member.

Curriculum – Course Directors, in conjunction with the Chair, oversee the preparation of course syllabuses, the preparation of examinations, and the recording of grades. Specific policies are stipulated in the course syllabi, which are distributed to the students at the start of each course. In team-taught courses, the faculty members discuss problems and needed changes in the course policy at meetings of course faculty. The progress of students, needed changes in course content, and distribution of topics are also discussed at course faculty meetings. A consensus is generally reached among all faculty teaching

in this course regarding specific changes. In the case of a lack of agreement among all of the teaching faculty members, the Chair, in discussion with the Course Director, makes a final decision. Courses with one faculty person are governed in all respects by the instructor, in consultation, when necessary, with the Chair.

Class Schedules – Class schedules are set by Course Directors in consultation with Chair.

Evaluations of Courses – All courses are evaluated by students who write evaluation comments, at least once, at the end of courses. Additional evaluation may be sought in writing and orally from individual student liaison committees. Chair and Course Directors review evaluations with teaching faculty. Chair and Course Directors may also evaluate teaching by direct observation of teaching activities.

#### VI. BUDGET PREPARATION:

The budget is prepared by the Department Administrator, under the supervision of the Chair. The Chair consults faculty on budget decisions relating to expenditures of salary reimbursement, salary savings, incentive, incidental, and education enrichment funds.

#### VII. STUDENT PARTICIPATION:

Number Of Students Involved – One graduate student representative is chosen by the Behavioral Science Student Organization to attend Department meetings as a non-voter in order to facilitate communication between faculty and students.

Method of Selection for Committees – same as above



**DEPARTMENT OF EMERGENCY MEDICINE**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURES**

**I. BASIC PROCEDURES:**

*Faculty Involvement in Educational Policy Making:*

1. Academic Requirements -- The department faculty has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules. . The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding polices to serve public service functions.
2. Courses of Study -- See Academic Requirements above
3. Class Schedule -- See Academic Requirements above
4. Graduate Programs -- The Residency Director will meet periodically with the faculty to discuss residency training, evaluations of residents, and residency recruitment and selection.
5. Research Programs -- The department has instituted a research development initiative whose two-fold purpose is to: 1) facilitate research starts within the department with strong but not exclusive emphasis on younger faculty; and 2) encourage research starts and pilot projects among faculty to establish external funding with salary savings and indirect costs.
6. Service Functions -- Department faculty serve on hospital, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care.

*Faculty Involvement in Developing Procedures for the Following Areas:*

The membership of the departmental faculty consist of the chair, full- and part-time faculty. Tenured and tenured track faculty possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. (Tables attached)

1. Appointing Faculty Members -- The department chair shall consult all department faculty for input before new faculty appointments are made. Written letters of support are provided by department tenured faculty. The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have an initial appointment in that center.
2. Reappointments -- All tenured faculty in the department shall participate in the review process for reappointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.

3. Terminating Faculty -- The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department.
4. Decisions to not Reappoint -- Same as Reappointment above
5. Post-Retirement Appointments -- Same as Reappointment above
6. Granting Tenure -- All tenured faculty in the department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a Multidisciplinary Research Center shall also participate for those faculty members with such appointments. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.

Written letters of support are provided by the department tenured faculty through the Department Chair to the College of Medicine's Appointment, Promotion, and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

Tenured Faculty Meeting: The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

Faculty Participation: Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vitae to the Chair one month prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. Faculty Performance Evaluations -- The Chair will discuss non-tenured faculty performance with tenured faculty for the two and four year evaluation reviews. All specific input from tenured faculty will remain confidential. The non-tenured faculty may ask to present their input before the tenured faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty.

8. Preparation of Budget Requests -- The Chair of the department is responsible for budget preparation in accordance with department's practice plan and the process developed by the college, Medical Center and the University.

*Establishing Rules* -- Rules can be proposed by any full-time faculty member, and accepted by consensus or majority vote among the full-time faculty at faculty meetings. Departmental rules may not conflict with College of Medicine or University Governing and Administration Regulations.

Governing and Administration Regulations: Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

*Modifying Rules* -- See above

*Copies of Rules to All Faculty* -- All Regulations and Rules of Procedures manuals are maintained in the department and are available for review by all department faculty and staff.

## II. MEETINGS:

*Regularly Scheduled* -- The faculty shall convene at least once a month. Any member may request an item to be placed on the agenda by submitting same to the Chair's office prior to the next scheduled meeting. Faculty Meetings Members: Attendance at faculty meetings include the faculty, Chief Resident, and Department Administrator. The faculty may extend membership to joint appointed faculty though without voting privileges.

*Number needed to Request a Special Meeting* -- Special meetings may be called by the Department Chair or designee or upon call by three (3) voting members or twenty percent (20%) of the voting members, whichever is larger. The Chair shall call the meeting within two weeks.

*Quorum Necessary for Transaction of Business* -- Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

*Presided over by Chair or Delegate* -- The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

*Minutes Available to Faculty* -- Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the department.

*Notification of Meetings* -- Contact is made by phone and written confirmation of the meeting place and time. The Chair establishes the agenda and distributes it to the membership.

*Voting Policy* -- Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his part-time appointment. Voting by proxy shall not be allowed at meetings, and voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.

*Conformity to Open Meeting Act* -- The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

## III. COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The department has one standing committee:

### **Patient Care Committee**

**Purpose:** The Committee shall have the charge of review of issues and making recommendations involving patient care issues related to the department's clinical services.

**Selection & Composition:** The Committee Chair will be the Dept. of Emergency Medicine Chair. Committee members shall include Department Chair, Director of Emergency and Trauma Services, ED Clinical Nurse Manager, ED Clerical Supervisor, Representative from Hospital Security, Representative from Respiratory Therapy, Representative from Clinical Laboratory, and one EM faculty. Physicians from other departments may be invited to be members of the Committee based on the patient care issues under the charge of the Committee (example - Medicine, Pediatrics, Surgery).

**Length of Service of Members:** Department committee members serve for one year and may be reappointed annually.

**Frequency of Meetings:** The Committee Chair shall convene the Committee once every other month. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

**Minutes:** Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted to the UK Hospital Medical Staff Executive Committee.

**Rules of Order:** Robert's Rules of Order shall apply.

#### IV. FACULTY PERSONNEL ACTIONS:

*Distribution of Effort* -- Distribution of Effort Assignments: The Chair in consultation with each faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

*Evaluation of Faculty Performance* -- Performance Evaluations: Faculty are evaluated on an annual basis by the Department Chair. Each faculty member submits an updated CV, a report on accomplishments of the past year, and goals for the next year to the Department Chair on an annual basis. Major areas of evaluation include: 1) teaching, 2) clinical service, 3) research, 4) University and public service, 5) professional activity and administration.

*Appointments/Reappointments* -- After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

*Reappointment/Terminal Reappointment/Non-reappointment* - Discussion of Reappointment/Terminal Reappointment/Non-reappointment may be at a regularly or specially called faculty meeting. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty as appropriate. The Chair will make a decision after faculty input has been considered.

*Promotion* -- The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

*Tenure* -- Same as for promotion

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

V. ACADEMIC MATTERS:

*Academic Advising* -- The Director of the residency program and the chair will advise residents on all matters related to their education and training. Other faculty may also advise when deemed appropriate.

*Advising for medical students:* Faculty members will serve as advisors for medical students upon request by the Office of the Associate Dean for Academic Affairs. The advisors will be available to their students for discussion of career choice, course selection, or other academic matters.

*Curriculum* -- The Course Director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Specific policies for ER 843 are stipulated in the course syllabus which is distributed to the students each year. The faculty discuss problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, after discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

*Class Schedules* -- The clerkship experiences are outlined in the syllabus. Education occurs in the following ways:

- a. Didactics
- b. Clinical experience

*Evaluations of Courses* -- The Course Director meets regularly with a student Liaison Committee in which course policy, examination policies, etc., are discussed. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

VI. BUDGET PREPARATION: A budget for the department shall be prepared and established in accordance with the Department's Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Chair, and submitted for approval to the Budget Committee consisting of College of Medicine and KMSF representatives.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Practice Plan.

VII. STUDENT PARTICIPATION:

*Number of Students Involved* -- The Course Director shall determine the number of students to be involved in course evaluation and design. The Director shall either appoint or ask for volunteers for this participation.

*Method of Selection for Committees* -- The Course Director shall solicit student participation in evaluating and designing the department curriculum.

**DEPARTMENT OF FAMILY AND COMMUNITY MEDICINE**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURES**

**I. BASIC PROCEDURES:**

*Faculty Involvement in Educational Policy Making:*

1. Academic Requirements -- The Chair will appoint a Director of Undergraduate Education who shall have responsibility for overseeing the Department's course offerings in the first, second, third and fourth year medical school curriculum. Faculty in the Department will participate in one or more of the Department's course offerings; this participation will be negotiated with the Department Chair yearly after the Director of Undergraduate Education has determined faculty needs for the Department's course offerings. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding policies to serve public service functions.
2. Course of Study -- See Academic Requirements above.
3. Class Schedule -- See Academic Requirements above
4. Graduate Programs: The Chair will assign graduate educational responsibility for all graduate programs, both onsite and affiliated programs, to the Associate Chair for Academic Affairs. A Residency Director for the Lexington campus residency program will be appointed who will oversee the graduate training program within the Department. The Residency Director will coordinate activities for all off-site programs that are affiliated with the Department with the Vice- Chair, and other faculty who may be appointed to administrative responsibilities in this area. The Hazard campus Residency Director will oversee the Residency at the Hazard site.
5. Research Programs -- The Department's research activities strive to explore and report upon issues and concepts which influence 1) family physicians' education and practices, and 2) the health and well-being of our patients. At present, the Department's Research activities include expertise in multiple areas including, but not limited to: survey research, quality improvement and systems of care, practice-based research, infrastructure and capacity building, chronic care models, quantitative and qualitative research methods, secondary analysis of existing data, clinical research, and translational research.
6. Service Functions -- Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. The department's commitment to the service of its patients must be paramount.

*Faculty Involvement in Developing Procedures for the Following Areas:*

The membership of the departmental faculty consists of the Chair, full- and part-time faculty. Tenured and tenured track faculty members possess voting rights by virtue of their primary appointments in the department.

Non-tenure track faculty are extended a voting member privilege by this appointment or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures; these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and

excellence as used by the COM are defined and the guidelines for promotion are based on these definitions.

1. Appointing Faculty Members

The Department Chair shall consult all department faculty for input before new faculty appointments are made. Written letter of support are provided by department tenured faculty.

2. Reappointments

All tenured faculty in the department shall participate in the review process for reappointments of non-tenured faculty. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.

3. Terminating Faculty

The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department and with full-time, non-tenured members of the department (except those appointed in the research title or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years.

4. Decisions to not Reappoint -- Same as Reappointment Above.

5. Post-Retirement Appointments -- Same as Reappointment Above.

6. Granting Tenure

All tenured faculty in the department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion.

College of Medicine rules govern the promotion of tenured faculty. Written letters of support are provided by the department tenured faculty through the Department Chair to the College of Medicine's Rank and Tenure Committee, and form a part of the dossier submitted to the Committee when proposing a faculty member for promotion. The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

Tenured Faculty Meeting: The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

Faculty Participation: Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review. Such faculty members shall be required to submit an updated curriculum vitae to the Chair one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures. The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.



## 7. Faculty Performance Evaluations

The Chair will discuss junior faculty performance with senior faculty for the two and four year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty.

## 8. Preparation of Budget Requests

The Chair of the department is responsible for budget preparation, and the Vice-Chair of Hazard is responsible for the Hazard budget and will prepare in consultation with the Chair of the department, in accordance with the department's practice plan and the process developed by the College, Medical Center, and the University.

*Establishing Rules* -- Rules for the department are established by the Department Chair in concert with department faculty.

*Modifying Rules* -- The Rules and Procedures of the Department of Family and Community Medicine are subject to change and/or amendment according to the needs and wishes of the Faculty.

*Copies of Rules to All Faculty* -- All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff.

## II. MEETINGS:

*Regularly Scheduled* -- The Department Meetings will occur on a regular basis, to be determined by consensus of the members. Special meetings may be called at the discretion of the Chair. Hazard-specific meetings shall be called by the Vice-Chair of the Hazard campus at least once monthly. Minutes of these meetings will be reviewed and approved by both the Vice-Chair and the Department Chair.

No policy decisions may be made without consideration and vote of the main Departmental meeting. Hazard-specific meetings called by the Vice Chair for Hazard, which result in policy decisions may be considered and voted on by the Hazard department, in accordance with established policy, with final approval from the Department Chair.

The faculty of the Department of Family and Community Medicine consists of the full-time, part-time, joint appointee, and voluntary professors, associate professors, and assistant professors who have been appointed through the College of Medicine appointment process.

Department meetings -- Members of Departmental meetings include the faculty as defined in section 1, the Departmental Manager, the Chief Residents, Clinic Manager, Undergraduate Division Coordinator, Faculty Development Coordinator and the Systems Analyst Programmer for the Lexington campus. These individuals shall all be voting members of the Faculty Meeting.

The Chief residents for each program are to be nominated by the Family and Community Medicine Department residents from the onsite or affiliated program in April of each year and elected by vote of the department faculty from the specific program.

The Department Meetings will be conducted in a manner so as to promote free and uninhibited discussion, and will be governed by Robert's Rules of Order.

*Number needed to Request a Special Meeting* -- A special Department Meeting may be requested by any member of the Department as described under heading II Meetings. This request must be submitted to the Department Chair, Hazard Vice-Chair, for Hazard specific issues, in writing, briefly describing the issue to be discussed and the approximate meeting length needed. The meeting will be scheduled on a time-available basis.

*Quorum Necessary for Transaction of Business* -- A quorum will be declared if a simple majority of the Lexington-based full and part-time Department Meeting members as described in Heading II Meetings are present in person or by teleconference.. The Chair, or his/her designate, will determine the presence of a quorum. One representative member from offsite/affiliated programs must be present to vote on any policy which affects that program, as determined by the Department Chair.

*Presided over by Chair or Delegate* -- Department Meetings will be chaired by the Department Chair or a member designated by him/her.

*Minutes Available to Faculty* -- The minutes of each department or site specific meeting will be recorded by the Departmental Chair's staff assistant (or other designated recorder) and will be circulated to the Members of the Department prior to the next scheduled Meeting.

*Notification of Meetings* -- The Chair, or Vice Chair for Hazard, for Hazard specific meetings, will establish the agenda for the Department Meeting and will circulate this agenda to the department members at least 24 hours prior to the scheduled meeting. The agenda will in addition be available in the Department Chair's office, or Vice Chair for Hazard's office, for Hazard specific meetings, for review prior to the scheduled meeting. Any member of the department may suggest items for the agenda.

*Voting Policy* -- Voting: Issues submitted to vote will be decided by a simple majority (50%+1) of those present and eligible to vote.

*Conformity to Open Meeting Act* -- The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### III. COMMITTEES:

Department Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees. Hazard department faculty committees shall be established by the Vice Chair of Hazard, and the Vice Chair of Hazard will serve as Ex-officio to the Hazard department committees.

The Lexington Family Medicine department has six (6) standing committees.

#### **Residency Recruitment Committee—Lexington campus**

*Purpose:* The committee shall review issues regarding the residency recruitment process with the input of residents and faculty. The Director of Graduate Education or his/her designate shall chair meetings of the Residency Recruitment Committee.

*Selection & Composition:* The committee shall be composed of the Director of Graduate Education, the Associate Director of Graduate Education, the Chief Residents, representatives from the first, second, and third year residents, selected faculty members, and the residency division secretaries.

*Length of Service of Members:* The Committee Chair shall serve for one year and may be reappointed annually. Department committee members serve for one year and may be reappointed annually.

*Chair Ex Officio Members:* The Department Chair shall serve ex officio.

*Frequency of Meetings:* The Committee Chair shall convene the Committee once a month. Committee members will receive written notice of committee meetings.

*Minutes:* Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting.

*Rules of Order:* Robert's Rules of Order shall apply.

### **Residency Curriculum Committee**

*Purpose:* The Committee should promote a systematic review of the residency curriculum in general to ensure the meeting of RRC special requirements for training in Family Practice and Community Medicine. The Department Chair will appoint the Chair of the Residency Curriculum Committee and all other members.

*Selection & Composition:* The committee shall be composed of the Director of Graduate Education, the Associate Director of Graduate Education, Chief Residents resident representatives, and faculty members. Programs not situated in Lexington will have a sub-committee for program-specific review of residency curriculum. The Department Chair will appoint the Chair of these sub-committees.

*Length of Service of Members:* The Committee Chair shall serve for one year and may be reappointed annually. Department committee members serve for one year and may be reappointed annually.

*Chair Ex Officio Members:* The Department Chair and the Vice-Chair for Academic Affairs shall serve ex officio.

*Frequency of Meetings:* The Committee Chair shall convene the Committee once a month. Committee members will receive written notice of committee meetings.

*Minutes:* Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting.

*Rules of Order:* Robert's Rules of Order shall apply.

### **Clinical Management Committee—Lexington campus**

*Purpose:* The Committee shall have the charge of review of issues and making recommendations involving patient care issues related to the department's inpatient, outpatient, and ancillary services.

*Selection & Composition:* The committee shall be comprised of the Family Medical Center Director, the Clinic Nurse Manager, Department Administrator and the 3<sup>rd</sup> year Resident doing the FMC rotation. Others may be invited to be members of the Committee based on the patient care issues.

*Length of Service:* The Family Medical Center Director or his/her designate shall chair committee meetings. Department committee members serve for one year and may be reappointed annually.

*Chair Ex Officio Members:* The Department Chair will serve on the committee ex-officio and will appoint the Committee chair.

*Frequency of Meetings:* The Clinical Management Committee shall meet as designated by the Chair of the Committee and shall have an agenda circulated prior to each meeting.

*Minutes:* Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting.

*Rules of Order:* Robert's Rules of Order shall apply.

### **Pre-doctoral Education Committee**

*Purpose:* The committee shall review the design of the clerkship and proposed changes, and present recommendations to the faculty through the Academic Vice-Chair. The committee will periodically review the integrated courses of the first and second year, and propose curricular changes, if appropriate. The committee will also review the evaluation process periodically.

*Selection & Composition:* The committee shall be composed of the Director(s) of the Pre-doctoral education program, selected faculty members, a representative of the voluntary faculty, a representative for the students, and the pre-doctoral staff.

*Length of Service of Members:* The Committee Chair shall serve for one year and may be reappointed annually. Department committee members serve for one year and may be reappointed annually.

*Chair Ex Officio Meetings:* The Department Chair shall serve ex officio.

*Frequency of Meetings:* The Committee Chair shall convene the committee once a month. Committee members will receive written notice of committee meetings.

*Minutes:* Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting.

*Rules of Order:* Robert's Rules of Order shall apply.

### **Clinical Research Review Committee (CRRC)**

*Purpose:* The Committee shall have the charge of review of issues and making recommendations involving any research involving the Family Medical Centers (FMC) in all locations, the Polk-Dalton Clinic, or its patients. The Vice Chair for Academic Affairs or his/her designate shall chair meetings of the Clinical Research Review Committee. The Hazard site will a subcommittee with its procedures approved by the Vice Chair for Academic Affairs and the Vice-Chair for the Hazard campus..

No research shall be conducted with the specified clinics or patients without (1) review and approval through this committee process, (2) the knowledge and consent of the Vice Chair for Clinical Affairs, (3) for the appropriate FMC, the knowledge and consent of the appropriate FMC Director, and (4) for Polk-Dalton, the knowledge and consent of the clinic administrator.

*Selection & Composition:* The committee shall be comprised of the Vice Chair for Academic Affairs, the Vice Chair for Clinical Affairs for the Lexington campus if involving Lexington-based sites, and the Vice-Chair for the Hazard campus if involving Hazard-based sites, the Director of Research, the FMC Director of the involved site, the FMC Manager of the involved sitend other members as appointed by the Chair.

*Length of Service:* The CRRC Chair or his/her designate shall chair committee meetings. Chair and committee members serve for one year and may be reappointed annually.

*Chair Ex Officio Members:* The Department Chair will serve on the committee ex-officio.

*Frequency of Meetings:* Research will be reviewed as needed. Most research will be reviewed by an asynchronous meeting process, in which the CRRC Chair distributes research project information and materials to committee members for their review and feedback to the CRRC Chair. Decisions will be made by consensus as adjudicated by the CRRC Chair who, as needed, will request additional information or protocol modification by the research investigators. The Committee shall meet face-to-face as necessary, determined by the Chair, and shall have an agenda circulated prior to each meeting.

*Minutes:* The CRRC Chair shall notify committee members of the outcome of each review. Copies of face-to-face meeting minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting or by written response to the CRRC Chair.

*Rules of Order:* Robert's Rules of Order shall apply.

### **Executive Committee**

*Purpose:* The Committee shall have the charge of reviewing issues and making recommendations involving the department's inpatient, outpatient, and ancillary services. The Department Chair or his/her designate shall chair meetings of the Executive Committee.

*Selection & Composition:* The committee shall be comprised of the Department Chair, Vice Chair for Academic Affairs, Vice Chair for Clinical Affairs, Vice Chair for the Hazard campus, Pre-doctoral Program Director, Residency Program Director, and the Department Administrator. Others may be invited to be members of the Committee as determined by the Chair.

*Length of Service:* The Chair or his/her designate shall chair committee meetings. Committee members serve for the length of one year and may be reappointed annually.

*Frequency of Meetings:* The Executive Committee shall meet as necessary and shall have an agenda circulated prior to each meeting. Special meetings may be called by any member with the agreement of the Chair.

*Minutes:* Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting.

*Rules of Order:* Robert's Rules of Order shall apply.

## **IV. FACULTY PERSONNEL ACTIONS:**

*Distribution of Effort* -- The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair. The Vice Chair of Hazard in consultation with Hazard faculty member determines the annual distribution of effort assignment for the Hazard campus. The Distribution of Effort Assignment for Hazard faculty is then reviewed by the Chair of the department for final approval and signature by the Hazard faculty, the Vice Chair of Hazard and Department Chair.

*Evaluation of Faculty Performance* -- Faculty are evaluated on an annual basis by the Department Chair. Hazard faculty are evaluated on an annual basis by the Vice Chair of Hazard. Each faculty member submits an updated CV, a list of accomplishments for the previous year and his/her goals for the upcoming year to the Department Chair on an annual

basis. Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) University and public service, 5) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

*Appointments/Reappointments* -- After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Designated faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

*Reappointment/Terminal Reappointment/Non-reappointment* -- Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty as appropriate. The Chair will make a decision after a majority vote of the faculty.

*Promotion* -- The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

*Tenure* -- Same as for promotion.

*Standard Personnel File* -- The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* -- Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

*Appeals* -- Appeals regarding Chair, faculty and personnel actions will follow established University academic and personnel due process procedures.

## V. ACADEMIC MATTERS:

*Academic Advising* -- Each of the department faculty are advisors will be available to serve as advisers to medical students. Residents are assigned to a faculty advisor for the duration of their tenure with the Department of Family and Community Medicine.

*Curriculum* -- The Director of Undergraduate Education and the Associate Director of Undergraduate Education will be responsible for overseeing the Department's course offerings in the first, second, third, and fourth year medical school curriculum. Faculty in the Department will participate in one or more of the Department's course offerings; this participation will be negotiated with the Department Chair yearly after the Director of Undergraduate Education has determined faculty needs for the department's course offerings. The Director of Undergraduate Education may delegate responsibility for specific courses and/or electives, with the support of the chair.

*Class Schedules* -- The clerkship experiences are outlined in the syllabus. Basically, education occurs in the following ways:

- a.) Primary clinical sites and adjunct clinical sites,
- b.) Didactics,
- c.) Community experiences.

*Evaluations of Courses* -- The Director of Undergraduate Education and the faculty that he/she designates for specific courses will determine and assign the course grades for those course offerings.

## VI. BUDGET PREPARATION:

A budget for the department shall be prepared and established in accordance with the Department's Medical Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Chair and the Department Administrator. Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution. Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan. The Hazard department budget shall be prepared by the Vice Chair for Hazard and Hazard Departmental Administrator. Hazard's budget shall be reviewed and approved by the Chair and Family Medicine Department Administrator, in accordance with the Department medical practice plan.

**GRADUATE CENTER FOR NUTRITIONAL SCIENCES**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**Basic Operating Procedures:**

- I. The primary missions of the Graduate Center for Nutritional Sciences (GCNS) are (a) to provide interdisciplinary graduate training in Nutritional Sciences, (b) to provide didactic education in nutritional sciences for the professional medical curriculum, (c) to perform research in the area of nutritional sciences to benefit human health. In keeping with our mission as a departmental academic unit within the College of Medicine at a Land-Grant University, the GCNS provides teaching, research and service.

II. Chair of the GCNS

The Chair of the GCNS is appointed by the Dean of the College of Medicine. The faculty member appointed to this position will serve as Chair of the Department within the College of Medicine, and as Director of multidisciplinary Center. The Chair for the GCNS is responsible for the oversight of all academic, research, service, faculty, student and staff related matters pertaining to the Center and other responsibilities as they may be defined in the Administrative and Governing Regulations of the University of Kentucky (Governing Regulations VII-10, 5).

The Chair presides over faculty meetings and is an ex officio member of all GCNS committees. The Chair has the administrative responsibility for implementing the GCNS programs.

Review of the Chair will be according to the Governing Regulations of the University (IX-1-1) and according to Operating Procedures for the College of Medicine.

The search for the Chair of the GCNS will follow the procedures outlined in the Administrative and Governing Regulations of the University of Kentucky and the College of Medicine.

III. Associate Director for the GCNS

- A. An Associate Director for the GCNS may be appointed by the Chair of the GCNS in consultation with the Dean of the College of Medicine, Dean of the College of Agriculture and the Core Faculty. The Associate Director of the GCNS will be a Core Faculty member.

- B. Roles and Responsibility of the Associate Director for the GCNS



The Associate Director may assist the Chair of the GCNS in the development of policies on such matters as academic requirements, courses of study, class schedules, graduate programs, service functions or other responsibilities delegated by the Chair within the limits established by the regulations of the University, the policies of the University Senate, and the rules of any college or school of which it is a part.

#### IV. Director of Graduate Studies (DGS) for the GCNS

The DGS for the GCNS will be appointed by the Dean of the Graduate School upon the recommendation of the Chair of the GCNS.

##### Role and Responsibility of the DGS of GCNS:

- A. Maintaining current information on the Center
  - 1. To revise recruitment material, e.g. brochure, graduate bulletin, poster.
  - 2. To revise the handbook as needed.
  - 3. To keep current the information on the GCNS Web-site (responsible for current information for the site, not for maintenance of the site) relating to the curriculum, handbook and recruitment.
  - 4. To keep students and faculty apprised of matters related to the graduate programs.
  - 5. To maintain records of students.
- B. Recruiting new students
  - 1. To oversee and facilitate all student recruitment activities.
  - 2. To make annual requests for recruitment funds from the Graduate School.
  - 3. To update information on nutrition graduate programs as requested.
- C. Advising and communication with Graduate School
  - To advise all new students on courses of studies until their advisor is selected.
  - 1. To keep updated on all Graduate School communications and forms, including Reasonable Compensation Form, NIH Survey Form, etc.
  - 2. To sign all student forms required by the Graduate School.
  - 3. To make nominations to the Graduate School for various fellowships, including Kentucky Opportunity Fellowships, Allocated Fellowships, Dissertation Year Fellowship, etc. To nominate students for various Graduate School Awards, such as the Commonwealth Research Award.
  - 4. To address any other matters related to students as needed.
  - 5. To update the course offerings for the Schedule for Classes each semester in consultation with the Director.
  - 6. To ensure that the fall, spring and summer GSAS forms for RA's and GA's are submitted as needed.

- D. Other responsibilities
1. To chair the Graduate Program Committee.
  2. To serve on the Curriculum Committee as an ex officio member.
  3. To assume responsibility for all budgetary matters related to the administration of the graduate program as it pertains to student recruitment, student stipends, fellowships and publications in consultation with the Graduate Program Committee and the Director of the GCNS.
  4. Budget - The DGS should have ½-time staff support.
  5. Budget: - The DGS will negotiate with the Chair to assure adequate funds for recruitment, the preparation and printing of recruitment and information material, student incentive funds (travel support), and for website maintenance.

V. Coordinator of Masters Program

- A. The Coordinator of Masters Studies in the GCNS will be appointed by the Chair of the GCNS. The Coordinator of Masters studies will have primary oversight for administration and implementation of the Masters Program.
- B. Responsibilities of the Coordinator of the Masters Program
1. Serve as a member of the Departmental Executive Committee
  2. Serve as Chair of a Masters Curriculum Subcommittee of the GCNS Curriculum Committee.
  3. Serve as a member of the GCNS Curriculum Committee.
  4. Oversee recruitment, admission, matriculation of students in the Masters Program.
  5. Prepare and maintain graduate handbook for the Masters Program.
  6. Promote an environment of cross collaboration for Masters Studies in Nutritional Sciences.

VI. Faculty

- A. Definition -The faculty of the GCNS are comprised of:
1. Core Faculty: primary appointments in the GCNS, College of Medicine.
  2. Graduate Faculty: members of the GCNS who are appointed as Graduate Faculty
  3. Joint Appointees: Faculty who hold a secondary appointment in the GCNS.
  4. Emeritus faculty
- B. The Core Faculty in the GCNS
1. Core Faculty of the GCNS may have ad hoc meetings with the Chair in relation to budget, teaching, graduate student training, performance evaluations and the future directions of the GCNS.
  2. Staff support will be provided to all Core Faculty of the GCNS.

3. Faculty allotments (for research, teaching and graduate training) will be distributed to Core Faculty by the Chair of the GCNS.
  4. Core Faculty will serve on a minimum of one standing committee in the GCNS, and will contribute to the educational missions of the GCNS and the College of Medicine in accordance with their distribution of effort.
  5. Core Faculty will undergo performance evaluations by the Chair of the GCNS in accordance with the Administrative Regulations of the University of Kentucky (ARII-1.0-5). In addition, the Core Faculty's distribution of effort will be negotiated with the Chair.
  6. Tenured Core Faculty will have primary oversight regarding the evaluation of Core GCNS faculty during the tenure and promotion process, and will provide to the Chair in writing their assessment of individual candidates. The Chair of the GCNS may solicit input from joint appointees and/or members of the GCNS in two- and four-year evaluations of Assistant Professors, and in evaluation during the tenure and promotion process.
- C. Voting Privileges: Core Faculty are the voting members of the GCNS. Voting status may be extended to Joint Appointees and /or Graduate Faculty of the GCNS for specific issues upon majority vote of the Core Faculty. The voting privileges of Emeritus Faculty will be determined by a majority vote of the Core Faculty.
- D. Advising Privileges: Students enter the GCNS doctoral program either through direct recruitment or through the IBS program. Core Faculty or members of the GCNS Graduate Faculty with an appointment in the College of Medicine may serve as advisors to students entering the program directly or through the IBS program. Faculty who are members of the Graduate Faculty from outside of the College of Medicine may direct the research of and serve as advisors or mentors to doctoral students entering the program through direct recruitment (outside of IBS). Faculty who are members of the Graduate Faculty may direct the research of and serve as advisors or mentors to masters students.
- E. Procedure for Affiliation with the GCNS
1. Graduate Faculty Membership: Any member of the existing Faculty of the GCNS may nominate any full or associate member of the Graduate Faculty for membership in the GCNS. An invitation letter to apply for membership shall be sent to the nominee from the Chair. The faculty member will present a seminar in the GCNS seminar series and the Chair of the GCNS will solicit feedback on from the entire Faculty of the GCNS. To complete the process, the Chair shall send a letter of recommendation to the Dean of the Graduate School, as well as forms for Graduate Faculty appointment. The Dean of the Graduate School will make the appointment. Faculty appointed to the Center will retain membership in accordance with the initial invitation letter sent by the Chair. Faculty that no longer wish to Graduate Faculty Membership in the GCNS shall send a letter of notification to the Chair.

2. Joint Appointees in the GCNS: The process for joint appointment to the GCNS will follow the University of Kentucky Administrative Regulations (ARII-1.0-5.M), and is the same process as used for appointment at regular or special title series (except a dossier and referral to an Area Committee are not required). Joint Appointees can be nominated by Core Faculty members. The Chair will extend a letter of invitation to nominated Faculty. The responsibilities of Joint Appointees will be to contribute to each mission of the GCNS (teaching, research and service).

## VII. Faculty Meetings

- A. Scheduled meetings: (a) Regular monthly meetings of the Core Faculty shall be held. Meetings shall be scheduled by the Chair, and an agenda sent prior to the meeting. (b) Regular meetings of the GCNS (Core, Joint Appointees and Members) shall be held during the academic year, with a minimum of two meetings per year. The Chair of the GCNS shall schedule the meetings.
- B. Quorum: The quorum required to conduct business for Core and full GCNS faculty meetings shall be one third of the voting faculty.
- C. Minutes shall be prepared by a Staff Assistant, typed and kept in the offices of the Chair of the GCNS. Faculty of the GCNS can request copies of minutes of faculty meetings or regular standing committees.

## VIII. Faculty Committees

Faculty appointments to all committees are made by the Chair in consultation with faculty. The Chair will appoint GCNS faculty to standing and ad hoc committees for specified periods of service. Student appointments to committees will be made by the Chair in consultation with the DGS. Committee members will have staggered appointments so that experienced individuals will always be available for committee service. Committee members may provide input to the Chair for appointment of the Committee Chair, with the exception of the Graduate Program Committee, which will be Chaired by the DGS. The Chair shall serve ex officio on all GCNS standing and appointed committees.

### A. Standing Committees

#### 1. The Executive Committee

Functions: To advise the Chair in relation to the graduate program, and in maintaining multidisciplinary aspects of the programs.

Procedures:

- a. The Executive Committee shall consist of the Chair, Associate Director, a Core Faculty member, the DGS, and faculty to

represent the College of Medicine, College of Agriculture, and other center members. The Executive Committee will meet on an ad hoc basis.

- b. Minutes of meetings shall be maintained in the Chair's office, a copy sent to the committee members and the core faculty, and will be posted on the GCNS web site.

## 2. The Graduate Program Committee

Functions: To assist the DGS in all operations related to graduate student admission, fellowship designation, course advising, recommendation of students for University fellowships, recruitment.

Procedures:

- a. The Graduate Program Committee shall consist of the DGS, at least two faculty from different academic units affiliated with the GCNS, one Core Faculty member, and a graduate student with advanced placement (i.e., post-qualifying exams). The term of faculty membership is two years.
- b. Minutes of meetings shall be maintained in the DGS's office and sent to the committee members and the Director.
- c. The DGS will report on activities of the Graduate Program Committee at full Faculty meetings of the GCNS.

## 3. Curriculum Committee

Functions: To review and revise the Ph.D. and Master's Program curriculum.

- a. To develop or to review new course applications as well as applications for changes in existing courses, when necessary.
- b. Development of policies such as academic requirements, courses of study, class schedules, graduate and research programs, and service functions.

Procedures:

- a. The Committee shall consist of a chairperson, four faculty members representing the various academic units affiliated with the GCNS (at least one from the Core Faculty) and a student member. The chairperson and the faculty members are appointed by the Chair from graduate faculty in the GCNS. A graduate student representative is appointed by the Chair. The term of faculty membership is two years, and no member shall serve more than two consecutive terms. The term of student membership is one year.

- b. A sub-committee of the Curriculum Committee shall be Chaired by the Coordinator of Master's Studies and will focus on curricular issues related to the masters program. This committee will report to the parent Curriculum Committee, and membership shall be constructed from GCNS faculty by the sub-committee Chair.
- c. At least one meeting per year shall be held for all curriculum committees in early fall.
- d. Major changes to the GCNS curriculum that require submission to and approval by the Academic Council must be presented at Core and Full GCNS Faculty meetings for discussion and vote prior to submission.
- e. Minutes of meetings shall be maintained in the Chair's office.
- f. The Chair of each committee will report on activities of the Curriculum Committee at full Faculty meetings of the GCNS.

#### 4. Search Committee for GCNS Faculty Positions

The Chair for the GCNS, in consultation with the Executive Committee and with Core Faculty of the GCNS, will appoint a Search Committee consistent with the area of recruitment, keeping in mind representation from the academic units affiliated with the GCNS. The Search Committee shall, at minimum, consist of three regular title series faculty with full graduate faculty status – at least one core faculty member shall be appointed to the Search Committee and serve as Chair of the Committee. One advanced level graduate student will serve on each faculty Search Committee. The Search Committee will conduct internal and/or external searches as charged by the Director following the rules and regulations as defined by the University of Kentucky Governing and Administrative Regulations. The Search Committee members serve in an advisory capacity to the Director.

#### Functions:

The search committee members in conducting a faculty search will:

- a. Develop a position announcement and advertisements to be used in nutrition or other relevant journals or chronicles, or classified sections of national newspapers.
- b. Disseminate the position announcement and receive applications.
- c. Identify and recommend qualified candidates.
- d. Arrange an itinerary for qualified candidates that includes meetings with all faculty of the GCNS expressing interest, the graduate student body, the Chair, Associate Director and the DGS, as well as

Administrative Officers for each unit to which the position will have shared support. A formal seminar will be required for interviewing candidates.

- e. Recommend top two to three candidates to the Chair, with whom the final decision rests.
- f. Assure that correspondence and documents relating to the search and the outcome are filed in accordance with University regulations.
- g. Notify unsuccessful applicants promptly of decisions regarding the position.

#### Procedures

- a. A current copy of University hiring guidelines as well as a copy of the current GCNS Rules of Operation and Procedures will be distributed to each Search Committee member. The search will be conducted in accordance with all regulations and guidelines.
- b. A position announcement will be developed that includes:
  - Title of the position
  - Job description and/or responsibilities of the position
  - Minimum qualifications
  - Deadline for receiving applications
  - Name, address and telephone number of person to contact in the GCNS
  - Equal opportunity statement
  - Address of Affirmative Action Coordinator
- c. The announcement will be disseminated to appropriate departments having potentially qualified candidates, including institutions listed in affirmative action guidelines. A copy will be sent to GCNS faculty.
- d. The position will be advertised as required by law appropriate for the position.
- e. After receipt of applications, the Committee will inform applicants of any materials needed to complete the file and the deadline for receiving them.
- f. The Search Committee will identify and rate all qualified candidates and arrange interviews of selected candidates. Folders of top candidates will be made available to GCNS Faculty.
- g. Arrangements for interviews will be made with sufficient notice to GCNS faculty so that they can arrange to meet the candidates. Any GCNS faculty member who desires to meet with the candidate will be allowed to do so.
- h. No candidate should be offered the position before the closing date for application.
- i. After the interviews, the Search Committee will solicit input from faculty. Following input from faculty, the Search Committee will

meet and recommend a candidate or candidates to the Chair, who will make the final decision.

- j. The Chair will then negotiate with the candidate.
- k. Unsuccessful applicants will be notified promptly of decisions regarding the position.
- l. All correspondence and documents relating to the search will be filed in accordance with University regulations.
- m. Minutes of meetings shall be maintained in the Chair's office and a copy sent to the Committee members.

Ad hoc committees shall be appointed by the Chair, Associate Director, or DGS as needed. All meetings will comply with the open meeting law.

### **Faculty Personnel Actions:**

*Appointing Faculty Members* -- The Chair appoints a faculty recruitment committee. Based upon the long-term perspectives, goals, research and teaching priorities of the Department, the Chair, with the advice of the faculty, determines the type of faculty and the areas of expertise in which to recruit.

*Faculty Reappointments:* According to the University Regulations (ARII-1; page II-1), all tenured faculty in the department will be engaged in the discussion of progress of non-tenured faculty for reappointments. In addition, the Chair may solicit input from Graduate Faculty of the GCNS, or from other units to which the faculty member is affiliated, in making decisions related to reappointment. In cases of a decision not to reappoint, the Department Chair is responsible for recommendations to the Dean on terminating faculty. A copy of records related to the reappointment of the faculty member shall be maintained in the departmental faculty member file. The faculty Standard Personnel File will be maintained in the College of Medicine Dean's Office and is available to the faculty member as outlined in AR II-1.0-1 (Page II-6).

All tenured faculty in the department meet to review and discuss the progress of non-tenured faculty for reappointments. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments.

*Terminating Faculty* -- The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department.

*Decisions to not Reappoint* -- Same as Reappointment above

*Post-Retirement Appointments* -- The Chair recommends post retirement appointments to the Dean as needed to help fulfill the teaching requirements of our Department while new faculty are being recruited.



*Distribution of Effort:* In the spring of each year each faculty member meets with the Chair to discuss and define their distribution of effort for the next year in research, teaching, professional development, service and other activities (i.e., administration, if applicable). The discussion takes into account the needs of the Department, the multidisciplinary aspects of the Center, the research program of the faculty member, their professional goals, and commitments to service both within and outside of the University. Distribution of effort assignments for junior faculty will be given considerable thought to provide adequate opportunities for progress towards promotion and tenure. Prior to finalization, a copy of the proposed DOE will be provided to the faculty member.

*Faculty Performance Evaluations:*

- a. Access to procedures and criteria: The Chair shall evaluate the performance of the Core Faculty according to procedures and criteria established by the College of Medicine and the University (ARII-1.0-5). Junior faculty will be evaluated by the Department Chair annually. As required by the Dean of the College of Medicine, the Chair conducts performance evaluations of tenured faculty members the first year of each biennium, during November and December. Performance evaluations will be maintained in the faculty file, faculty will receive a copy of each year's evaluations, and have access to the materials related to performance evaluation under the Open Records Act.
- b. Inputs to be utilized: In accordance with University policy (AR II-1.0-5), the performance review will utilize quantitative and qualitative judgment of the faculty member's activities during the period of review in teaching, research, University and public service, and other appropriate activities. Relative weightings of the evaluation will be based on the distribution of effort agreed upon between faculty and Chair. The inputs utilized will include a current CV, student evaluations, a teaching portfolio with student evaluations for the period evaluated, and a statement of summary of research accomplishments. For faculty with joint appointments in other units, or membership in multidisciplinary Centers, with distribution of effort towards activities of these units, input from the respective unit may be solicited. The Chair will review the information provided, and draft a narrative highlighting evaluations specified according to the distribution of effort. A quantitative rating will be assigned to each area of academic mission. The Chair will meet with individual faculty members to discuss the performance ratings. The evaluation will then be forwarded to the Dean.

*Promotion and Tenure:*

- a. Two and Four Year Reviews: Tenured faculty members of the department will review the progress of non-tenured faculty towards promotion and tenure at the end of the second and fourth year. Input may be solicited by the Chair from Graduate Faculty members of the GCNS, or units to which the faculty member may be affiliated. The discussion will be communicated to the faculty member by the Chair and a record maintained in the faculty member's Standard Personnel File, housed in the Dean's office.

- b. Promotion Guidelines: The Department will adhere to the guidelines specified in the University Administrative Regulations (ARII-1.0-1, Page III-1 – III-6). In addition, the Department will follow the guidelines for promotion and tenure specified in Faculty Resources for the College of Medicine (Procedures for Appointment, Promotion and Tenure, VI, Promotion).
- c. Promotion and tenure from Assistant to Associate Professor: The decision to recommend to promote and/or grant tenure shall originate with the Department Chair after consultation with appropriate faculty. An Assistant Professor who is in the sixth or next to last year of a probationary period must be considered for promotion and tenure, unless the individual requests in writing that such not be done because of resignation or willingness to accept a terminal appointment.
  - i. Areas of Consideration: Faculty members must demonstrate excellence in scholarship, with excellence in the areas of emphasis outlined in their distribution of effort.
    - 1. For evaluation in research, in accordance with the University Administrative Regulations (AR II-1.0-1.V.A.2) and the College of Medicine (Procedures for Promotion and Tenure, VI, Promotion), it is expected that Core GCNS faculty will produce publications in refereed journals. The quality of publications will also be considered (impact factor, citations). Publications in all realms will be considered, however, refereed journal publications are of highest priority. In the discipline of Nutritional Sciences it is typically necessary to secure extramural funding in the form of extramural support, intramural grants, equipment awards, contracts, and patent royalties in order to support the expenses associated with continuous productivity in research and publications. Other scholarly activities in research, including membership in professional societies, offices held, meetings attended, speaker solicitations, and peer review (both publications and granting agencies) will also be considered.
    - 2. For evaluation in teaching, in accordance with the University Administrative Regulations (ARII-1.0, Page V-1) and the College of Medicine (Procedures for Promotion and Tenure), it is expected that faculty contribute to teaching in Nutritional Sciences, either through the Nutritional Sciences doctoral or masters curriculum, the Integrated Biomedical Sciences curriculum, or the professional medical curriculum. In addition, it is expected that faculty attend departmental seminars, as well as journal clubs and/or research meetings applicable to their research programs. Both the quantity and quality of teaching will be considered. Moreover, contribution to course coordination will also be considered. Objective evidence of the quality of teaching shall include, but not be limited to reports by colleagues qualified in the field, evaluations by students, and accomplishments of graduates supervised by the individual.
    - 3. For evaluation of service, it is expected that faculty contribute to service within the Department and the College. Moreover, public service to community, state and nation, through service on committees, unit reviews, will be considered.

- d. Promotion from Associate to Full Professor: The decision to recommend to promote and/or grant tenure shall originate with the Department Chair after consultation with appropriate faculty. The process for promotion from Associate to Full Professor shall follow the University guidelines (AR II-1.0-1, Page III-3) and the College of Medicine (Procedures for Appointment, Promotion and Tenure, VI, Promotion).

## OTHER

- I. *Establishing rules* - When major issues of educational restructuring or budgetary revisions arise in the Department, the general procedure is to discuss these issues in an open faculty meeting, obtaining the input of all those who wish to provide such input, and providing for open discussion of the various viewpoints of the faculty members. During the weighing of the pros and cons of the several viewpoints, and the different perspective on each issue, the general goal will be to reach an overall consensus of opinion. The majority opinion of the faculty during these discussions will be taken as the recommendation of the faculty serving in an advisory position to the Chair. With this input, the Chair will be responsible for making the final decision. If the Chair's decision, based on competing considerations, long-term goals, or other factors, is in contradiction to the clear opinion of the general faculty, the Chair will explain the reasons for choosing not to follow the faculty's advice. However, in most instances, the goal of the Departmental administration will be to achieve general consensus and agreement of opinion about issues, and will usually attempt to develop a preponderance of agreement in favor of one course or another. *Governing and Administrative Regulations:* Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.
- II. *Copies of Rules to All Faculty* - All Regulations and Rules of Procedure manuals are maintained in the Department Administrator's office and are available for review by all departmental faculty and staff.
- III. *Budget preparation:* Budgets shall be prepared and submitted by the Chair and Business Manager consistent with such format and specificity as established by the institution.
- IV. *Policy on whether the faculty standard personnel file is kept in the office of the dean or department chair/director (AR 2:1-1)* The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

**GRADUATE CENTER FOR TOXICOLOGY**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURE**

**I. BASIC PROCEDURES**

**A. GCT Functions:**

The missions of the Graduate Center for Toxicology (GCT) are teaching, research and service. A copy of the GCT mission statement shall be maintained at the GCT front office and periodically assessed by the GCT faculty.

**B. Faculty Definitions and Responsibilities:**

1. The faculty in the GCT is comprised of:
  - a. Core faculty; with regular (primary) appointments in the GCT
  - b. Full Faculty; full members of the Graduate Faculty, who have joint appointments in the GCT
  - c. Associate Faculty; associate members of the Graduate Faculty, who have joint appointments in the GCT
  - d. Affiliate Faculty; who are not members of the Graduate Faculty, who have joint, adjunct or volunteer appointments in the GCT
  - e. Emeritus faculty
  - f. Graduate Faculty; who are associate or full members of the GCT Graduate faculty, who do not have an academic joint, adjunct or volunteer academic appointment with the GCT
2. Tenured and tenure-track Core faculty possess voting rights by virtue of their primary appointment in the GCT. Nontenure track Core faculty are extended a voting member privilege by their appointment or reappointment. Full and Associate faculty are extended a voting member privilege by their appointment or reappointment. Voting privileges of the Affiliate Faculty, Graduate Faculty, and Emeritus faculty will be determined individually. Decisions to extend voting status are by majority vote of the tenured and tenure track Core faculty conferring the voting privilege (GR VII.A.6.(a)).
3. Core faculty, and full faculty who are full members of the graduate faculty, may direct the research of (serve as advisors or mentors of) masters and doctoral students. Core faculty and Full Faculty who are Associate members of the graduate faculty may direct the research of master's students and may serve as co-advisors of doctoral students.
4. Associate faculty may serve as co-advisors of masters and doctoral students.
5. Only GCT faculty may serve as advisors or co-advisors for GCT graduate students.
6. The faculty of the GCT agree to uphold the high ethical standards outlined in the Code of Ethics of the Society of Toxicology.

**C. Involvement of Faculty in Educational Policies.**

The faculty is the governing body of the GCT and has jurisdiction over matters concerning its internal educational policies insofar as these do not conflict with other University regulations and rules

1. **Educational Policies and Procedures on Graduate Student Recruitment.** Various efforts will include distribution of announcements to colleges and universities, listings such as Peterson's Guide and the Resource Guide to Careers in Toxicology, participation of the GCT faculty in Minority Summer Research Experience, individual recruitment activities such as seminars and professional meeting presentations, and by securing of training grants and other funding to attract capable graduate students. The Admissions Committee will identify the best-qualified students during the period January through March of each year and make offers of admission and financial support. The Director will be responsible for the prompt handling and disposition of applications.

2. **Educational Policies and Procedures on Graduate Student Placement**

- a. Philosophy: Each student entering the GCT should have the opportunity to assess how well his/her career interests match those of the existing GCT faculty. The selection of the student's major research advisor is probably the most important decision the graduate student will make during his/her graduate program. This decision should be an informed one without undue financial considerations. Therefore the following guidelines are meant to clarify the student placement process within the GCT with due consideration of funding issues.

- b. Procedures:

- (1) Each student entering the GCT should be uncommitted to an advisor. This requirement may be waived under special circumstances with the approval of the Core faculty upon the recommendation of the Admissions and Finance Committee.
    - (2) The Director of Graduate Studies will initially advise the student until an advisor is identified. The responsibilities of the Director of Graduate Studies will include the following:
      - i. Advise the student about coursework.
      - ii. Advise the student to meet with 4 or 5 of the GCT faculty (Full, Core or Associate members) compatible with the general interests of the student. Note: The Director of Graduate Studies shall periodically review and evaluate the student's progress.
      - iii. At the end of the student's first 2 months in the program, he/she will be required to identify three faculty research programs in which a minimum rotation of 6 weeks each will be carried out.
      - iv. By the end of the first year, the student should have selected a major research advisor. Failure to do so will jeopardize the student's funding.
      - v. All other duties assigned by the policies and rules of the University Graduate Faculty or by the Dean of the Graduate School.
      - vi. Ensuring compliance of practices of the GCT graduate program with AR 5:2.

- c. Funding:

- (1) Unless otherwise stipulated in writing by the Director of the GCT, the GCT will be responsible for the full support of all first year students.
    - (2) The major research advisor will be responsible for providing the following:
      - i. An appropriate laboratory environment for the student.
      - ii. Full support for the student for the second year and thereafter.
      - iii. Full support for the student's project.
    - (3) Students may be admitted into the GCT M.S. program without any financial support. However the student must be fully informed of his/her financial responsibilities, including possible payment of out-of-state tuition. No student will be admitted to the Ph.D. program without financial support from the GCT, from his or her home government, or from other scholarships that they bring with them.

#### **D. Faculty Involvement in Developing Procedures.**

**The GCT faculty is specifically charged with:**

1. Establishment of Rules of Procedures.
2. Establishment of a committee structure to deal with matters over which it has jurisdiction.
3. Development of educational policy such as academic requirements, courses of study, class schedules, graduate and research programs, and service functions (including those public service functions described in AR 3:8).
4. Establishment with the Director of written procedures to be used by the GCT to make recommendations on:
  - a. Appointment of new members
  - b. Promotions
  - c. Reappointments
  - d. Terminal appointments
  - e. Decisions not to reappoint
  - f. Post-retirement appointments
  - g. Granting of tenure.
5. Establishment with the Director of written procedures and criteria to be used for annual Core faculty performance evaluation.
6. Establishment with the Director of written procedures to be used in preparing budget requests that the Director will submit.

#### **II. Faculty Meetings:**

- A. **Scheduled Meetings:** Regular meetings of the faculty, with a minimum of two meetings per academic year (one per semester), shall be held. The Director of the GCT shall schedule and chair the meetings.
- B. **Special Meetings:** the Director when necessary shall call special meetings of the faculty.
- C. **Agenda:** An agenda for each faculty meeting shall be prepared and distributed by the Director to the faculty at least 10 working days prior to the meeting. Members of the faculty may place items on the agenda for a faculty meeting. Such written agenda items should be submitted to the Director. Announcements and agendas of special faculty and committee meetings will be posted in advance on the bulletin board outside 306 HSRB.
- D. **Participants:** Participants in the GCT faculty meetings, or committee meetings, shall include all faculty members, or members of the committee. At the discretion of the Director, non-voting faculty may be invited to leave the meeting during discussion of sensitive matters. However, formally closed meetings can be held only to deliberate the specific matters of appointment, discipline or dismissal of specific persons, following a majority vote in public to go into closed session, and without restriction of the right of the affected individual to cause hearings to take place in public session. In addition, any final action must take place in public session.
- E. **Quorum:** The quorum required to conduct business shall be one fourth of the voting faculty of the GCT, at a meeting of the entire GCT faculty, or a majority of the voting faculty of the Core faculty, at a meeting of the Core faculty, or a majority of the voting faculty of a committee, at a meeting of a GCT committee.
- F. **Parliamentary Procedure:** Parliamentary procedure shall be in accordance with generally accepted procedures. Points of difference shall be decided in accordance with Robert's Rules of Order (Newly revised), a copy of which is on file in the GCT office, with decisions on interpretation to be made by a parliamentarian appointed by the chairperson.

- G. Minutes: The committee chairperson or a faculty secretary to be elected by majority vote of the voting faculty shall have the responsibility for taking minutes of the faculty meetings (in the absence of such election the GCT Director shall draft the minutes). Minutes which include a record and description of the motions made, and of the actions and recommendations adopted shall be typed and distributed to the faculty by the office of the Director, or the committee chairperson as appropriate, within a week after a faculty meeting. At the request of a faculty member, amendments to the draft minutes may be proposed for adoption by the faculty (committee) member at the next faculty (committee) meeting
- H. Meetings of the faculty and faculty committees will be in compliance with the Open Meetings Law, a copy of which is on open file at the GCT office.

### **III. Committees:**

The Director in consultation with faculty makes faculty appointments to all committees. The Director will appoint GCT faculty to standing and ad hoc committees for specified periods of service. The Director in consultation with the Toxicology Student Forum will make student appointments to committees. Committee members will have staggered appointments so that experienced individuals will always be available for committee service. A description of the functions and operating procedures of all departmental committees shall be on file in the GCT office. The Director shall serve ex officio on all GCT committees.

A. Standing Committees of the Faculty are:

1. Core Faculty Committee
2. Executive Committee
3. Admissions and Finance Committee
4. Curriculum Committee
5. Qualifying Exam Committee
6. Student Award Committee

B. Ad hoc administrative committees to advise the Director shall be appointed by the Director as needed.

C. Description of Committees

#### CORE FACULTY COMMITTEE

The Core faculty committee is composed of faculty with primary appointments in the GCT. The committee is charged with daily activities and decisions of the GCT educational programs, and with bringing to the attention of the GCT faculty important matters that require formal actions by the GCT faculty as a whole. In the exercise of this function, the Core faculty committee consults with and advises the Director of the GCT. In accordance with the Governing Regulations, the Core faculty is the voting body in the extension (or withdrawal) of membership and/or voting privileges to other persons assigned to the GCT (GR VII.A.6.(a)).

#### EXECUTIVE COMMITTEE

The Executive Committee is charged with advising the GCT Faculty and the Director in all matters pertaining to the educational policies and faculty programs of the GCT.

It also may make recommendations to the faculty or Director on issues of promotion and tenure, probationary status and termination of faculty. The Executive Committee shall be composed of faculty representatives from colleges in the Medical Center and from other colleges, the Core

Faculty, and the Director of Graduate Studies, the college representatives being selected by the Director in consultation with the GCT faculty. The Executive Committee shall have one student member, who shall have full voting privileges, and shall be the President of the Toxicology Student Forum except as otherwise determined by the Toxicology Student Forum

### FACULTY SEARCH COMMITTEE

#### Functions:

1. After receiving permission from the Administration to fill a vacant or a new position, conduct a search for a new faculty member in accordance with University's hiring guidelines.
2. In consultation with the Director (who is ex officio on the committee), develop position announcement and advertisements to be used in journals/chronicles or classified sections of national newspapers.
3. Disseminate the position announcement and receive applications.
4. Identify qualified candidates and make arrangements for interviews.
5. Recommend a candidate to the Director.
6. See that correspondence and documents relating to the search and the outcome are filed in accordance with University regulations, and applicable State and Federal Laws.

#### Procedures:

1. A current copy of University hiring guidelines as well as a copy of the current GCT Rules of Operation and Procedures will be distributed to each search committee member. The search will be conducted in accordance with all regulations and guidelines.
2. A position announcement will be developed that includes:

Title of the position

Job description and/or responsibilities of the position

Minimum qualifications

Deadline for receiving applications at least one month from mailing date

Name, address and telephone number of person to contact in the GCT

Equal opportunity statement

Address of Affirmative Action Coordinator

3. The announcement will be disseminated to appropriate departments having potential qualified candidates including institutions listed in affirmative action guidelines. A copy will be sent to GCT faculty.
4. The position will be advertised as required by law in fora appropriate for the position.
5. After receipt of applications, the committee will inform applicants of materials needed to complete the file and the deadline for receiving them.
6. After a specified date, the search committee will identify all qualified candidates and rate top several candidates and arrange interviews. Folders of top candidates will be made available to GCT faculty in the GCT office for review.
7. Arrangements for interviews will be made with sufficient notice to GCT faculty so that they can arrange to meet the candidates. Any GCT faculty member who desires to meet with the candidate will be allowed to do so.
8. No candidate should be offered the position before the closing date for application.
9. After the interviews, the search committee will convene a special meeting of the committee at which time faculty interested GCT faculty will be availed of the opportunity to voice opinions.



At this or a later time the search committee will meet and recommend a candidate. The recommendation of the search committee will be forwarded to the Director.

10. The Director and the administration will then negotiate with the candidate recommended by the search committee.
11. Unsuccessful applicants will be notified promptly of decisions regarding the position.
12. All correspondence and documents relating to the search will be filed in accordance with University regulations.

#### ADMISSIONS AND FINANCE COMMITTEE

The Admissions and Finance Committee will review and recommend to the Director of Graduate Studies (who shall be presiding officer of its meetings) acceptance or rejection of applications of applications for admission. The committee will also make recommendations to the Director on the distribution of funds used for the purpose of providing stipends for graduate students of the GCT.

Additional responsibilities, **involving educational policy-making**, will include the development of long-range programmatic plans for resource acquisition and allocation. The Admissions and Finance Committee shall have one student member, who shall have full voting privileges, and shall be the President of the Toxicology Student Forum, unless determined otherwise by the Toxicology Student Forum.

#### CURRICULUM COMMITTEE

**The educational policy-making responsibilities** of the Curriculum Committee are to make recommendations to the faculty on teaching objectives, curriculum planning, course content and scheduling. This committee coordinates the development of syllabi for each course, makes continuing evaluation of course offerings and makes suggestions for adding, deleting, revising or renumbering courses. This committee will maintain surveillance over teacher evaluation methods and recommend changes. This committee shall include a GCT student, who shall be the President of the Toxicology Student Forum, except as otherwise determined by the Toxicology Student Forum, who shall have full voting rights. The Director of Graduate Studies is an ex officio nonvoting member of the Curriculum Committee. The Curriculum Committee has the responsibility for the maintenance and revision of the Student Handbook.

#### QUALIFYING EXAM COMMITTEE

This committee is responsible for **educational policy and instructional program** of the GCT by way of assembling the yearly written portion of the qualifying exam, administering the exam, effectuating the grading of the exam and assessing the status of pass or fail of the exam for each examined student. The Director of Graduate Studies will serve as Chair of this Committee.

#### STUDENT AWARDS COMMITTEE

This committee establishes **educational policy on the criteria** for evaluating the merits of individual cases, with a copy of the established criteria made available in the GCT office. The committee also serves the managerial function of making recommendations to the Director on student candidates for awards given by the GCT or by other University offices.

#### **IV. Faculty Search**

The Director in consultation with faculty shall appoint a Search committee when permission to recruit for a position has been received from the administration. The Search committee shall consist

of Core, Full, Associate and outside faculty, as well as a student representative. A description of the functions and operating procedures of the Search committee are in Section III.C of this document.

## **V. Faculty Personnel Actions**

### **A. Progress Review, Reappointment, Promotion and Tenure Progress Review of Junior Core Faculty**

1. Access to Procedures and Criteria on Progress Review and Reappointment. The procedures used in developing unit recommendations on progress review and reappointment, terminal reappointment, or non-reappointment of Core faculty shall be those established by the University, the College of Medicine and the GCT faculty. Prior to the solicitation of reappointment/progress review materials from either the consulted or subject faculty, the Director will place in the GCT office file of "Administrative Policies and Procedures Statements" a copy of the current University procedures and criteria, and of the procedures of the College of Medicine and GCT governing the processes. The Director will attempt to coordinate the progress reviews around the fall meeting or spring meetings of the GCT faculty, as appropriate, when making an announcement of the dates by which participants must submit the given materials. These dates must be such that the Director will receive all specified materials at least one week in advance of the GCT Core faculty meeting. The Director shall not prepare the unit records or recommendations on tenure/promotion progress, reappointment, terminal reappointment or non-reappointment until after the meeting of the GCT Core faculty, unless the individual being reviewed and the Director agree to other scheduling. Reviews of progress toward tenure are mandatory in the GCT each year for untenured faculty, while reviews of progress toward promotion are conducted at the request of the associate professor.
2. Inputs to be utilized from participants. In addition to the documentation on activities submitted by the evaluated individual, inputs from students and colleagues will be used ( AR 2:1). In the administration of the reappointment/review process the Director shall seek the advice of the tenured and other GCT faculty of the GCT, individually or as a committee, as described below, so as enable the Director to accurately speak for the unit (GR VII.B.5). On matters of reappointment, the Director must receive the consultative input described below from tenured Core faculty, and also from tenure-track Core faculty who are availed the opportunity to offer such input (GR VII.B.5), and also from non-Core faculty who offer such input (GR VII.B.5). Written judgments from specialists outside the GCT are not required, but will be received and utilized if so arranged by the subject faculty member.
3. Assembly of the documentation to be examined. The faculty member being evaluated will submit to the Director a reappointment/review dossier containing an updated C.V. and teaching portfolio, and any associated materials as suggested below, which the faculty member considers pertinent in documenting his/her activities. The Director will add to the reappointment/review dossier the results of student evaluations of courses in which the faculty member participated, along with a description of the substance of informal expressions of student attitude received by the Director that are pertinent to assessment of the individual's teaching or advising. The Director will include a description of the meaning of the student ratings in relation to student ratings of other GCT faculty and other GCT courses. With the agreement of the subject individual, the Director may add to the file additional documentation received by his/her office that is illuminative of the quality or quantity of the individual's performance, such as letters received by the Director from specialists in the field outside of the GCT. The Director shall add to the dossier a copy of the applicable distribution of effort agreements describing expected activities of the

individual, and which were assigned by the unit so as to provide opportunities for making due progress toward reappointment or tenure/promotion in terms of the unit's expectations (AR II-1.0-5.B.3). The Director shall also add copies of the final outcomes of previous progress reviews. Each junior faculty member has a standing offer to personally address a meeting of the GCT Core faculty prior to the Director's preparation of the unit record or recommendation on tenure/promotion progress, reappointment, terminal reappointment or non-reappointment.

4. Input from GCT faculty. The Director will make the reappointment/progress review dossier available to GCT faculty at the GCT office. . The Director shall place written composite summary of the received evaluative input in the individual's file. The summary shall serve as the GCT faculty input utilized by the Director. The Director will take active measures to encourage Core GCT faculty and the executive committee members, and non-Core members who may choose to submit recommendations, to examine all materials in the reappointment/progress review file before supplying their assessments and recommendations to the Director.
5. Preparation of the Unit Recommendation by the Director. After receipt of the solicited materials from the GCT faculty, and prior to the meeting of the GCT Core faculty, the Director shall examine and evaluate the factual documentation in the file, and study the recommendations of the GCT faculty as expressed in the file summary. If from this analysis the Director detects a problem with the reappointment or progress of the faculty member, the Director shall discuss the situation with the faculty member and solicit any additional pertinent documentation that might exist that was not originally included in the file. The Director shall also advise the faculty member that s/he may personally address the next regular or specially scheduled meeting of the GCT Core faculty. From the recommendations supplied by GCT faculty, and incorporating the outcome of any appearance of the faculty member before the GCT faculty or its discussion of the individual's case, the Director shall prepare a record describing the unit's assessment of tenure/promotion progress and the basis for it and/or prepare a recommendation describing the nature of the reappointment and the basis for it. As required by the Governing Regulations (GR VII.B.5), in preparing this record or recommendation the Director shall transmit the opinion of the GCT faculty, and hence may itself contain and constitute the file record of input summary described in (4) above. If the Director finds it necessary to depart from the opinion of the GCT faculty, the Director shall also transmit in record/recommendation to the Dean the opinion of the GCT faculty, and shall indicate in the record the reasons for this departure (GV VII.B.5). The Director will submit the record of progress and/or recommendation on reappointment to the Dean, noting the supporting materials generated during the process. The Director shall inform the subject faculty member of the nature of the recommendation upon its transmittal to the Dean. In these processes the Director functions as the administrative officer of the unit, and not also as an individual consulted faculty member (AR 2:1).
6. Maintenance of Progress Review and Reappointment Records. A copy of records related to the progress review and/or reappointment that are received by the Director, or prepared by the Director, the consulted faculty members, or the affected faculty member, shall be maintained in the departmental faculty file of the subject individual. The faculty member has access to the materials under the Open Records Act and University policy (AR 2:1.III.E).
7. Promotion and Tenure of Core Faculty. The procedures, criteria, and evidences of activity under those criteria, to be used in the promotion and/or tenure of GCT Core faculty shall be the same as those described for reviews of progress toward tenure/promotion of GCT faculty. An additional provision applying to actual promotion/tenure processes concerns the mandatory solicitation of letters from specialists in the field from outside the GCT. According to university requirements,

specialists from outside the university shall be called upon to attest to the qualifications of the candidate individual (AR 2:1-1.III.F.3). The following procedures shall be utilized in the solicitation and use of letters obtained from such specialists.

The Director shall solicit from the candidate names of suggested specialists from outside the university. The candidate shall provide at least three names of potential specialists from outside the University, and shall include a statement of the qualifications of the individuals suggested to serve as external peer reviewers. The candidate may also provide the names of individuals that the candidate would prefer not be solicited as external reviewers, and may include reasons for such preference. Independently, the Director shall solicit from the GCT Core faculty, and from the Executive Committee, names of potential reviewers external to the GCT, and individuals offering names to the Director shall include for each a statement of the qualifications of the reviewers. From these lists, the Director shall choose a group of external reviewers from outside the university. The list of reviewers external to the university selected by the Director shall be constructed so as to strive for at least four, and more than half, of the reviewers to be from the list constructed independently of the candidate (AR 2:1-1.III.F.3). The Director shall solicit from the final lists of reviewers their written judgments as to the qualifications of the individual for rank or tenure status for which the candidate is being considered, and will provide with such solicitation a C.V. supplied by the candidate for this purpose, along with several representative publications if provided by the candidate for this purpose.

The solicitation of the Director must contain a statement describing the university policies on access of the candidate to these written judgments (AR 2:1-1.E.3), and shall specify for the reviewers the date of needed provision of the letters, which shall be a date prior to the meeting of the GCT Core faculty at which the case of the candidate will be discussed (AR 2:1-1.III.F.2). The Director shall take active measures to encourage the consulted GCT faculty to read and consider these external letters prior to preparation of their own written judgments (AR 2:1-1.III.F.2). The written judgments of the external reviewers and descriptions of their qualifications, and written judgments of the consulted GCT faculty, shall be included in the dossier forwarded to the Dean. The Director shall retain file copies of each list of suggested names received from each faculty member offering such names, a copy of the letter(s) of solicitation to reviewers external to the GCT, and copies of all records s/he produces or receives, or produced by consulted faculty members, or by the affected individual during the promotion/tenure process.

#### **B. Non-Core Faculty Appointment to the GCT**

Any Full or Associate member of the graduate faculty or other individuals may petition the GCT faculty for admission. The request for admission must include:

1. A statement from the applicant outlining his/her present (and future) research interests and experience in Toxicology as well as expected interactions within the GCT in the areas of teaching, research, and service.
2. A letter from the Director of the GCT stating the anticipated benefit to the GCT and the contribution the applicant will make to the GCT programs.
3. A letter from the applicant's chair supporting the applicant's admission to the GCT and recognizing the applicant's desire to participate in teaching and other activities of the GCT.
4. The applicant must present a research seminar in the Toxicology Seminar Series, which demonstrates the applicant's research interests in the field of Toxicology.
5. All applicants will be reviewed and approved by the Core Faculty .

## C. Evaluation of the Performance Participation of Core and Non-Core Faculty:

### 1. Annual/biennial performance review of GCT Core faculty

- a. Access to procedures and criteria. The Director shall evaluate the performance of the Core GCT faculty according to procedures and criteria established by the University, the College, and the GCT faculty. Prior to the solicitation of review materials from either the consulted or evaluated faculty, the Director will place in the GCT office file of "Administrative Policies and Procedures Statements" a copy of the current University, College and GCT procedures and criteria governing the review process.
- b. Inputs to be utilized from participants. In addition to the documentation on activities submitted by the evaluated individual, inputs from students and colleagues will be used (AR 3:10.A.2). In the administration of the performance evaluation the Director shall seek the advice of the faculty of the GCT, individually or as a committee, as described below, so as enable the Director to accurately speak for the unit (GR VII.B.5). During each year, the Director shall attend at least one class lecture given by each Core faculty member, scheduled at the arrangement of the affected faculty member.
- c. Assembly of the documentation to be examined. The faculty member being evaluated will submit to the Director a review file containing a completed merit evaluation report , or other document containing similar information, and any associated materials that the faculty member considers pertinent in documenting his/her activities during the review period. The Director will add to the review file the results of student evaluations of courses in which the faculty member participated, along with a description of the substance of informal expressions of student attitude received by the Director that are pertinent to assessment of the individual's teaching or advising. The Director will include a description of the meaning of the student ratings in relation to student ratings of other GCT faculty and other GCT courses. With the agreement of the subject individual, the Director may add to the file additional documentation received by the Director's office that is illuminative of the quality or quantity of the individual's performance. Along with a copy of the applicable distribution of effort agreement describing expected activities of the individual, the individual will include a statement explaining any significant departure from this agreement during the review period. The documentation in the review file will serve as the factual basis for the evaluation.
- d. Input from GCT faculty. The Director will make the review file available to GCT faculty. The Director shall solicit and summarize assessments submitted by the Core GCT faculty and will add these assessments and their composite summary to the individual's review file. The summaries shall serve as the GCT faculty input utilized by the Director.
- e. Recommendation of the Director to the Dean. The Director shall examine and evaluate the factual documentation in the review file, and consider the recommendations of the GCT faculty as expressed in the file summaries and from these sources develop a tentative recommendation. Should the Director's recommendation find a considerable problem with lack of performance in a given area of activity, then prior to finalizing his recommendation the Director may choose to solicit from the subject individual any additional pertinent documentation that might exist that was not originally included in the file. The Director shall then record on the College of Medicine performance review form a quantitative assessment and qualitative judgment of the performance of the evaluated individual in each area of activity (AR 3:10.A.1). The Director's recommendation shall also include discussion of the progress on the individual toward promotion/tenure in terms of the unit's expectations (AR 3-10:B.4). From these evaluations in each area of activity, and with weightings according to the distribution of effort assignment, the Director shall enter on the review form an overall performance rating. This finalized record, which constitutes the Director's recommendation on the merit performance evaluation of the individual, will be forwarded to the Dean in the

review file. As required by the Governing Regulations (GR VII.B.5), in preparing this recommendation the Director shall transmit the opinion of the GCT faculty. If the Director finds it necessary to depart from the opinion of the GCT faculty, the Director shall also transmit in the evaluation record to the Dean the opinion of the GCT faculty, and shall indicate in the record the reasons for this departure.

- f. Final Decision and Discussions. After the Dean has decided separately from the Director upon a performance rating in each area of activity, and an overall rating, they will confer on the performance of each faculty member and attempt to resolve any differences in judgment (Provost memorandum). Following this discussion, there will be a conference between the chairman and each faculty member focusing upon the faculty member's performance of his or her assignment during the review period. The Director will inform the faculty member of his or her performance ratings and describe the information used in arriving at the rating. If the Dean and Director have been unable to resolve any differences, the faculty member will be informed of the ratings of both the Director and the Dean and the Dean's decision is final.
  - g. Use and Maintenance of Performance Review Records. These performance ratings constitute recommendations on merit salary increase and the final rating by the Dean serves as the recommendation forwarded by the Dean for ultimate merit salary action by the Board of Trustees. A copy of records related to the evaluation that were received by the Director, or prepared by the Director, consulted faculty members, or the affected faculty member, shall be maintained in departmental faculty file of the subject individual. The faculty member has access to the materials under the Open Records Act and University policy (AR 2:1.III.E)
  - h. GCT faculty input on performance review of the Director. Members of the GCT, and especially the Core members, are invited to submit to the Dean their assessment of the performance of the Director during the review period in the Director's capacity as a faculty member in the areas of teaching and research. To facilitate this exercise, the Director shall maintain a file for access of GCT faculty that contain materials describing the activities and accomplishments of the Director with respect to the GCT, such as a C.V., annual GCT reports, or any other materials deemed relevant by the Director.
2. Distribution of Effort Assignments of Core Faculty.

In the spring of each year the Director will formulate with each faculty member an agreement on their distribution of effort for the next year in research, teaching, professional development, public and university service, and any other special assignments. The distribution of effort assignments will made so as to provide adequate opportunities to junior faculty for making due progress toward tenure or promotion requirements, and to full professors for meeting expectations in self-improvement (AR 3:10-C.2). Consideration will also be given to class sizes, enrollment trends and other relevant indicators. In developing these assignments, the Director shall seek the advice of the Core and other GCT faculty, individually and at meetings of the Core faculty (GR VII.B.5). Prior to finalization each spring, a copy of the proposed D.O.E. form of each Core faculty member will be available at the GCT office for any Core faculty member to examine. As per university requirements, the activities covered by the D.O.E. constitute the total expectation of activities of the individual (BPM E-13).
  3. Evidences of Activity for use in performance review, reappointment, promotion and tenure of Core GCT faculty
    - a. Mandate for unit-level establishment of evaluative evidences of activity. Under the Governing Regulations of the University, the University-level criteria for performance, reappointment, promotion and tenure are established by the President (GR VII.A.I.2; GR VII.V.5). These University-level criteria have been promulgated by the President in AR 2. Within that framework, the Governing Regulations require that the Core faculty of the GCT

shall develop a written statement describing the evidences of activity in instruction, research and service that are appropriate to the unit's field(s), for use in guiding evaluations (GR VII.A.6.(c)). These written statements are subject to the final approval of the Dean of the College of Medicine.

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

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

(1). Evidences of Activity in Research. In accordance with the Governing Regulations (GR VIIA.6.(c) and the Administrative Regulations (AR 2:2), it is expected that Core GCT faculty will produce publications in the mode of refereed journals. Although obtaining extramural funding is not in and of itself a criterion of activity in Research, in the discipline of Toxicology, it is typically necessary to secure extramural funding in order to support the expenses associated with continuous productivity in publication. GCT Core faculty are also expected to vigorously seek this sufficient extramural funding to the extent necessary to sustain continuous productivity, the success of which and level of funding being commensurate with the funding levels and award rates of funding sources in the individual's discipline. The quality of publications will also be considered, assessments of which will be assisted by evidences of quality described below. Additional activities in research beyond journal articles (sustained as needed by extramural funding) are expected, the particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member.

(2). Acceptable evidences of activity under the criteria area of research, or activities in support of the research program, include but are not limited to those listed.

(a). Quantity of activity

i. Publications (in order of importance).

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

ii. Non-published activities.

- Patent submissions.
- Development of computer software, cell lines, organic compounds, etc. of interest to scientific community.
- Recruitment of postdoctoral scholars, technical staff.
- Intramural interdisciplinary/inter-investigator research interactions.

[note: as per a general directive from the Provost, move obtaining grants from here over to evidence of Professional Activity/National Reputation]

(b). Quality of activity.

i. Publications

- Impact factor, half-life factors and immediacy factors of journals and published works (as per Sci. Cit. Index).
- Impact factor of journals of authors who cite your work.
- Reviews of and number of citations of your work; laudatory comments in external manuscript reviews.

ii. Non-published activities

- Solicitations for research advice/materials.
- Success in recruitment of qualified laboratory staff.

d. Professional Status and Activity (AR 2:2)

(1). Evidences of Professional Status and Activity. It is expected that Core faculty will be members of one or more professional societies within their discipline. It is also expected that a formal presentation will be given at a national-level or international-level scientific meeting at least once per year by the faculty member or representative from his/her research group. Additional activities beyond these specific criteria evidences are expected, the particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member. (Professional activity is also considered as a form of public service).

(2). Acceptable evidences of activity of professional status and activity include, but are not limited to, those listed below:

(a). Quantity of activities.

- i. Societal memberships, offices held in, or functions provided to, professional societies.
- ii. Number of meetings attended, presentations given.
- iii. Number of extramural grants, papers, book chapters reviewed.
- iii. Service on grant panels, on-site review teams, editorial councils, ad-hoc committees.
- iv. Securing professional license.

(b). Quality of professional activity.

- i. Expressions of appreciation from journal editors, authors for quality of reviews.
- ii. Expressions of appreciation from panel or symposium organizers, administrators on quality of your professional service.
- iii. Requests for additional information from attendees of symposium.
- iv. Solicitation for your provision of professional service again on panels, teams or as event organizers.
- v. Election to professional office.

(c). Evidences of strong scholarly reputation.



- i. Invitations to give symposium presentations, write review articles, seminars at others institutions, etc.
- ii. Invitations to provide book, journal article or grant reviews.
- iii. Scope of invited event-regional, national, international.
- iv. Funding
  - Success in acquiring contracts, patents, extramural and intramural grant awards,with appropriate weighting for size/source of award, & award rate.
  - Ranking level of proposal by awarding group.
  - Laudatory comments contained in grant reviews.

e. Teaching.

(1). Evidences of Activity. It is expected that Core faculty will perform classroom teaching each academic year and that each Core member serve as coordinator for at least one GCT course each academic year. It is also expected that each faculty member participate in the recruitment of GCT graduate students and will attend departmental seminars and research/journal club meetings. Additional activities beyond these specific criterial elaborations are also expected, the particular combinations of activities being determined by the needs of the unit and the academic freedom of the faculty member.

(2). Acceptable evidences of activity under the teaching area include, but are not limited to, those listed below.

(a). Quantity of teaching activities.

- i. Academic instructions within established curriculum.
  - classroom lectures given, laboratory exercises conducted, topical projects directed-actual contact time.
  - formal office hours associated with courses being taught; number of students hours provided.
  - development of lecture, exercise, topic materials; preparation of syllabus, grading exams, reports, etc.
  - organizing appearance of lectures in multi-instructor courses.
  - assignments in direction and advising students on conceptualization, organization and execution of scientific studies.
  - advising/teaching postdoctoral trainees in apprenticeship role, for which UK gets matriculation credit with the Council on Postsecondary Education.
  - direction of curricular seminars
  - guest lectures in the classes of other instructors
- ii. Academic Instruction-new curricula
  - development of course proposals; pursuing administrative approval processes, etc.
  - writing new, original lecture/laboratory materials for new course
  - advertising new course
- iii. Non-curricular student-contact and advising activities
  - formal assignments in undergraduate, graduate student coursework advising
  - advising students on career strategies/opportunities
  - advising students on preparation of job applications, teach job seminar skills
  - advising students on preparation of intramural seminars or journal club

presentations

-advising students on writing grant proposals, manuscripts, etc.;

presentations at scientific meetings

-advising students on conceptualization, organization, execution of formal research projects

-student recruitment visits to other locations, interviews with prospective students

iv. Non-curricular teaching-related activities

-organizing student research talk or journal club activities

-teaching publications, meeting presentations on teaching techniques and issues

-attendance at teaching workshops; teaching sabbaticals

-service on graduate committees of students under the direction of other faculty

-participation on student admissions committees, student appeals committees, etc.

-teaching program assessment committee activities, etc.

-writing letters of recommendation for students or graduates

(b). Quality of Teaching Activities

i. Academic instruction within established curriculum

-student evaluation ratings

-narrative evaluations by students, colleagues, Director of Graduate Studies or others who attended lectures

-narrative evaluations by student groups, graduates, testimonials by parents or other associates of students

-incorporation of new research advances into instructional materials

-ability to organize and present class material logically and with conviction

ii. Academic instruction-new curricula

-efforts to improve instruction through innovative and experimental approaches

-success of experimental or new course offerings

iii. Non-curricular student-contact and advising/mentor activities

-success in student recruitment or retention

-student success following adoption of advisory recommendations of the faculty member

-student success in competitions or job application interviews, etc.

-success of student organizational activities which the faculty member advised on

iv. Non-curricular teaching-related activities

-success in student in obtaining jobs for which the faculty member wrote in support of the student

-intramural and extramural requests for published teaching materials

-solicitation for additional, future service in teaching-related advisory capacities

-smooth, effective functioning of admissions, appeals, and other committees

f. Public and University Service

- (1). Evidences of Activity. It is expected that Core faculty will actively participate on GCT committees, and perform other actions in faculty governance that are necessary for the smooth and effective functioning of the GCT. In connection with this evidence of activity, the Director shall ensure that all Core Faculty serve on GCT Committees, such as the Admissions Committee or Curriculum Committee prior to mandatory tenure or promotion considerations (AR II-1.0-1). Additional activities beyond these specific criteria

elaborations are expected, the particular combinations of activities being determined by the needs of the public, university, College of Medicine and GCT, and by the academic freedom of the faculty member.

(2). Acceptance evidences of activity under area of service include, but are not limited to, those listed below.

(a). Quantity of service activities.

i. University/ College/ /GCT activities

- committee or other activities toward formation of policy or decisions for actions
- participation in activities of faculty governance (e.g., faculty personnel processes, evaluation of unit staff, etc.)
- performance of administrative duties (e.g., unit administrator, head of task force, Director of Graduate Studies, etc.)
- participation in unit reviews, recommendations on budgetary matters, intramural awards, etc.
- solicitation of gifts to the university

ii. Public Service Activities

- serving as expert witness, rendering professional opinions in written form and in depositions
- presentations to lay groups related to area of expertise
- participation in teacher in-service training; speaking to students in public school system
- participation in telethons or other programs interfacing the university to the public

(b). Quality of Service Activities

i. Adoption of recommendations made in advisory capacity

ii. Letters of appreciation from clientele or other recipients of service activity. Success in soliciting gifts to university.

#### 4. Evaluation, Reappointment and Promotion of Non-Core faculty

Introduction: Effective monitoring and enhancement of non-Core faculty participation in GCT activities requires a process for evaluation of non-Core faculty participation and a mechanism whereby such faculty participation may be encouraged, supported and, if necessary, terminated.

It should be emphasized that no attempt has been made to quantify the level of teaching, research and service activities required for membership in the GCT. Adequate levels of participation in each of these activities will undoubtedly vary among individual faculty according to the specific nature of their involvement, their commitments elsewhere in the University, and other considerations germane to the interests of the GCT.

Faculty will be jointly appointed (and/or appointed to the GCT graduate faculty) for a 5-year period, with membership and voting privileges conferred or withdrawn in accordance with the Governing Regulations. At the end of their joint appointment period, faculty may be contacted regarding their continued interest in a joint appointment in the GCT. Joint (and/or graduate faculty) participation may occur at the level of mentoring of students, giving of lectures, service on student Advisory Committees, and on GCT committees (e.g., Curriculum Committee, Student Awards Committee), as will be specified in the initial appointment correspondence exchanged between the

applicant and GCT Director, and as further approved by the Core Faculty (and/or graduate faculty) . These approved agreements on expected areas of activity for the given joint (and/or graduate faculty) member will be utilized in GCT decisions on joint reappointment or joint promotion of the joint (and/or graduate) faculty member. Joint (and/or graduate faculty) reappointments will be reviewed and if approved by the Core Faculty (and/or graduate faculty, respectively), , will be made for another 5 years. Faculty may withdraw from their Joint and/or graduate appointments at any time of their own choosing.

## **VI. Selection of the GCT Director**

A search committee shall be appointed by the Administration when the position becomes available and permission to fill the position has been received from the administration. The Search committee shall consist of Core, Full and outside faculty and a student representative. All GCT faculty shall have the opportunity to address the search committee. The search committee will make its recommendation to the GCT faculty at a special faculty meeting, and the faculty's recommendation along with that of the search committee will be forwarded to the administration.

## **VII. Academic and Administrative Responsibilities of the GCT Director**

It is essential that the Director remain a productive scholar, teacher and researcher in his/her own field of competence.

- A. Academic Responsibilities: The director serves as Chairperson of the GCT faculty in the development of GCT policies on such matters as academic requirements, courses of study, class schedules, graduate and research programs and service functions. The Director presides over faculty meetings and is an ex officio member of all GCT committees.
- B. Administrative Responsibilities: The Director has the administrative responsibility for implementing the GCT programs.
  - 1. The Director is responsible for transmitting recommendations on the appointment of new members, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure.
  - 2. The Director is responsible for the periodic evaluation of the faculty by procedures and criteria established by the University and the GCT faculty.
  - 3. The Director shall inform the GCT faculty on matters relating to expenditures of funds.
  - 4. In connection with each of the above major administrative functions, the Director shall seek the advice of faculty members of the GCT, individually and collectively, or of advisory committees (such as the Executive Committee) that the Director may appoint.
  - 5. The Director shall speak for the opinion of the GCT faculty. In the event that the Director believes it necessary to depart from the opinion of the GCT faculty, the Director shall communicate the GCT faculty opinion as well as the Director's recommendation, stating the reason for differing from the GCT faculty opinion, and will notify the GCT faculty of such action.

The scheduling of the faculty personnel actions administrated by the Director is as follows:

	<u>Asst. Prof.</u>	<u>Assoc. Prof.</u>	<u>Professor</u>
Performance Review	each fall	minimum every other fall	minimum every other fall
Progress review	each fall or as appropriate	at discretion of the faculty member	NA
Reappointment	spring prior to contract renewal	spring prior to contract renewaal	NA
Tenure/Promotion	minimum fall every 6th yr	minimum fall every 6th yr	NA
Distribution of Effort	each spring	each spring	each spring

6. Responsibility to inform: The Director is charged with the responsibility to inform prospective or new faculty on University and GCT procedures and criteria for appointment, promotion and tenure (AR 2:1).
7. Capacity as a Role Model: In his/her conduct as Director, the Director shall exhibit to the faculty, staff and students a high level of professional ethics. As such the Director makes highly visible the necessity for:
  - a. adherence to regulations both in their letter and in a spirit of fairness.
  - b. strict observance of the confidentiality of materials submitted under enforceable conditions of confidentiality.
  - c. exhibiting accuracy, forthrightness and dignity in the exercise of professional ethics and scholarship.
8. Term of Appointment of the Director: The term of Director's appointment is ordinarily every 6 years in the COM. A Director may be reappointed, however, when an ad hoc committee appointed by the Administration to review and evaluate the GCT finds that the particular circumstances and needs of the GCT make such a reappointment desirable.

## VIII. AMENDMENTS

The Portion of the Rules of Procedures for the GCT that concern faculty committees and educational policies and procedures for instructional, research and service programs may be amended by the Core Faculty (GR VII.A.6.(a), at regular or special Core faculty meetings by a two-thirds majority vote of eligible voters present. A copy of the proposed amendment shall be dated and circulated ten working days prior to the meeting. No proxy votes will be accepted.

The portions of the Rules of Procedures of the GCT that concern faculty personnel and student personnel operations and procedures are jointly established by the faculty and the Director, and require

in addition the concurrence of the Director. A copy of the proposed amendment shall be dated and circulated ten working days prior to the meeting. No proxy votes will be accepted.

The Director in consultation with the faculty determines the portions of the Rules of Procedures of the GCT that are purely management in nature.

## **IX. UNIT LOCATION OF APPLICABLE LAWS AND REGULATIONS**

The following documents are located in the GCT office 306 HSRB for examination and use by anyone.

1. Governing and Administrative Regulations
2. File of administrative policy memos affecting faculty received by the Director  
e.g., President's memo on faculty files, Provost policy memos on performance review, tenure, etc.)
3. Senate Rules
4. Graduate School Bulletin
5. Rules of Procedure for the Graduate Center for Toxicology
6. Student Rights and Responsibilities
7. Copies of applicable state and federal laws (e.g. Open Meetings Law, Open Records Law, Archives and Records Act, EEOC regulations on procedures and record keeping, etc.)
8. Staff Policies and Procedures Manual
9. Business Procedures Manual

## **X. FACULTY FILES AND PERSONNEL RECORDS**

The Director of the GCT, and each GCT faculty member, shall jointly maintain a unit personnel file for each GCT faculty member. The Director shall place in this file copies of all records and documents issued or received by the Director concerning the academic status or activities of that faculty member, and any other document required by applicable laws or university regulations. The faculty member shall be responsible for placing into the file, at least once per year, an updated C.V., copies of publications or other evidences of creative productivity, and any other documents as required by University regulations. No record shall be removed from the file or destroyed without the knowledge of the faculty member, or in noncompliance with the State Archives and Records Act (a copy of which is on open file in the office of the GCT). The faculty member shall have access to any record concerning him/her, preliminary or final, contained in this or any other file, in accordance with the Open Records Act. Any university employee or public citizen has access under the Open Records Act to records in any faculty member's file that document salary, academic position, job description/assignments, distribution of effort sheets, promotion/tenure/merit review CVs or final reports of activities, vacation leaves, consulting approval forms, etc.

**DEPARTMENT OF INTERNAL MEDICINE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. BASIC PROCEDURES:**

*Faculty Involvement in Educational Policy Making:*

1. Academic Requirements--The department faculty has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding polices to serve public service functions.
2. Courses of Study--See Academic Requirements above.
3. Class Schedule--See Academic Requirements above.
4. Graduate Programs--The Residency Training Program meet periodically with the faculty to discuss residency training, evaluations of residents, and residency recruitment and selection.
5. Research Programs--The department has instituted a research development initiative whose two-fold is to: 1) facilitate research starts within the department with strong but not exclusive emphasis on younger faculty and residents; and 2) encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs.
6. Service Functions--Department faculty serve on departmental, college, and university committee as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. The department emphasized that it's commitment to the service of its patients must be paramount.

*Faculty Involvement in Developing Procedures for the Following Areas:*

The membership of the departmental faculty consist of the chair, full- and part-time faculty. Tenured and tenured track faculty possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures. These are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. (Tables attached)

1. Appointing Faculty Members--The department chair shall consult appropriate division faculty for input before new faculty appointments are made. Written letters of support are provided by division tenured faculty. (The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have an initial appointment in that center).
2. Reappointments--All tenured faculty in the division shall participate in the review process for reappointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall

notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.

3. Terminating Faculty--The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendation shall include appropriate consultations with faculty members of the division.
4. Decisions to not Reappoint--Same as Reappointment above.
5. Post-Retirement Appointments--Same as Reappointment above
6. Promotion and Granting of Tenure--An Appointments, Promotion and Tenure committee shall be appointed by the Chair. This Committee shall consist of one member from each rank in the Regular Title Series; one professor or associate professor from the Special Title Series; one associate or assistant professor from the Clinical Title Series; and one representative at any rank from the Research Title Series. Membership on the Committee shall be for a three year term. The Associate Chair for Academic Affairs shall serve as Chair and a voting member of the Appointments, Promotion, and Tenure Committee.

The Committee would serve as a fact-finding and evaluative body in the review process. Its primary function would be to ensure the consistent and uniform application of standards in evaluating promotional performance and, if necessary, to act in an advocacy role. The Committee will conduct its reviews as the initial step in the promotion and tenure review process, beginning as soon as possible after July 1 each year. All candidates for promotion, award of tenure, two-year and four-year review will be identified. The responsible division chief will be expected to provide a written summary of his/her review of the candidate and will be expected to meet with the committee to present this review. The Committee will monitor the dossier preparation process (including recommendations for letters of reference) and review the final package prior to making a report to the Department Chair.

The Committee is advisory to the Department Chair and will meet with the Department Chair to review findings and recommendations. The report of the Committee's deliberations will be presented to the tenured faculty at their regular promotion and tenure review meetings.

#### Promotion and Granting of Tenure:

All tenured faculty in the division shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a Multidisciplinary Research Center shall also participate for those faculty members with such appoints. The Chair shall seek the support of the tenured faculty individually, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.

**Tenured Faculty Meeting:** The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda will be circulated, and copies of faculty members preliminary dossiers shall be made available to members of the tenured faculty for review prior to the scheduled meeting.

Written letters of support are provided by the division tenured faculty through the Department Chair to the College of Medicine's Rank and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean. Faculty shall have the privilege of



dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures.

7. Faculty Performance Evaluations--At the time of their two-and four-year reviews, faculty shall prepare dossiers for review by the tenured senior faculty. Dossiers shall include updated CVs, DOEs, annual performance reviews, job descriptions, teaching portfolios, and examples of research and creative productivity, including both published/funded work and work in progress. The Department Chair and Division Chief shall prepare and sign a written review for two and four-year periods for non-tenured faculty. Preparation of this review will include consideration of comments from the tenured faculty at the review meeting, although all specific input will remain confidential.

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty.

8. Preparation of Budget Requests--The Chair of the department is responsible for budget preparation in accordance with department's practice plan and the process developed by the College, UK Healthcare and the University.

*Establishing Rules*--New Rules to be established for the Department are proposed to the Division Chief Committee for vote.

*Governing and Administration Regulations:* Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

*Modifying Rules*--See above

*Copies of Rules to All Faculty*--All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff.

## II. MEETINGS:

*Regularly Scheduled*--The faculty shall convene approximately monthly at the division level. The agenda is prepared by the Division Chief or delegate. Faculty requests for inclusion of items on the agenda are presented to the Chief's secretary or business officer before the scheduled meeting date, and when approved, are included at the earliest meeting date when time is available on the agenda. Items typically include educational issues, research presentations, practice related issues, and business presentations, as well as quality assurance issues and VA business. The Department Chair will periodically attend division meetings as needed.

The faculty shall convene semi-annually for a department-wide faculty meeting.

All full-time faculty members are entitled to one vote in matters requiring concurrence by vote.

*Number needed to Request a Special Meeting*--Special meetings may be called by the Department Chair or designee or upon call by three (3) voting members or twenty percent (20%) of the voting members, whichever is larger. The Chair shall call the meeting within two weeks.

*Quorum Necessary for Transaction of Business*--Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

*Presided over by Chair or Delegate*--The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

*Minutes Available to Faculty*-- Minutes of faculty meetings are prepared by the Chair's secretary under the authority of the Department Chair as delegated. Minutes are distributed to the faculty at or in advance of the next faculty meeting. Minutes do not require formal approval by faculty members other than the Department Chair, but alterations to minutes may be presented at the next meeting upon request of a faculty member. Minutes include, at a minimum, a record of those present, description and disposition of matters submitted for formal vote or concurrence, a record of financial reports, faculty recruitment transactions, and important items of general information. Attachments to the minutes are frequently included.

*Notification of Meeting*--Contact is made by e-mail confirmation of the meeting place and time at least 3 days prior to meeting cancellation and rescheduling information is made available to the faculty in as timely a manner as possible. The Chair establishes the agenda and distributes it to the membership at least 24 hours before the meeting.

*Voting Policy*--Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his part-time appointment. Voting by proxy shall not be allowed at meetings, and voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.

*Conformity to Open Meeting Act*--The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### III: COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees.

#### Division Chief Committee

**Purpose:** The Committee shall have the charge of review of issues and making recommendations involving patient care issues related to the department's inpatient, outpatient and ancillary services.

**Selection & Composition:** The Committee shall be composed of a Chairman, Associate Chairs, Division Chief of each division, the Department Administrator, and the VA-Chief of the Medical Services.

**Length of Service of Members:** Department committee members serve for the duration of their tenure.

**Chair Ex Officio Members:** The meetings will be chaired by the Department Chair or a member appointed by the Chair.

**Frequency of Meetings:** The Chairman shall convene the Committee monthly. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

**Minutes:** Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting.

**Rules of Order:** Robert's Rules of Order shall apply.

### Education Committee

**Purpose:** The Committee is responsible for the development and implementation of all Dept. Educational Program at the College of Medicine & Residency Program Levels, including continuing Medical Education.

**Selection & Committee Composition:** The Committee shall be composed of members of the Department faculty.

**Length of Service:** A Committee Chair shall be appointed by the Department Chair after consultation with the department faculty. The Committee Chair shall serve for one year, and may be reappointed annually. All members shall serve during the length of their employment within the department.

**Chair Ex Officio Members:** The meetings will be chaired by the Department Chair or a member appointed by the Chair.

**Frequency of Meetings:** The Committee Chair is free to schedule meetings at such intervals as are appropriate to meet their responsibilities.

**Minutes:** Copies of Minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled faculty meetings.

**Participation in Meetings:** A faculty member who is not a member of a committee may request of the committee chair that agenda time be allocated for matters to be presented to the committee. Committee chairs comply with such requests at the earliest mutually convenient meeting time.

**Requests for Voted or General Concurrence:** Committee chairs may present committee recommendations to the faculty for voted or general concurrence as appropriate. Such recommendations may be approved, disapproved, approved with changes, returned to the committee for further study, or tabled.

**Rules of Order:** Robert's Rules of order shall apply.

#### IV. FACULTY PERSONNEL ACTIONS:

*Distribution of Effort Assignments:* The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

**Evaluation of Faculty Performance--Performance Evaluations:** Non-tenured faculty are evaluated on an annual basis and tenured faculty, biannually by the Department Chair. The Director of a Multidisciplinary Research Center shall participate for those faculty members with such appointments. Each faculty member submits an updated CV to the Department Chair on an annual basis. Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) university and public service, 5) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

**Appointments/Reappointments--**After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

Reappointment/Terminal Reappointment/Non-reappointment-Discussion of any of the above will be at a regular or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty as appropriate. The Chair will make a decision after a majority vote of the faculty.

Promotion--The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

Tenure--Same as for promotion

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

## V. ACADEMIC MATTERS:

Academic Advising-- The Director of the residency program and the chairman will advise residents on all matters related to their education and training. Other faculty may also advise when deemed appropriate.

Advising for medical students: Faculty members will serve as advisors for medical students upon request by the office of the Associate Dean for Academic Affairs. The advisors will be available to their students for discussion of career choice, course selection, or other academic matters.

Curriculum--The Course Director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examination and the recording of grades. Specific policies are stipulated in the course syllabus which is distributed to the students each year. The faculty discuss problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

Class Schedules--The clerkship experiences are outlined in the syllabus. Basically education occurs in the following ways:

- a. Primary clinical sites and adjunct clinical sites
- b. Didactics
- c. Community experiences

Evaluations of Courses--The Course Director meets regularly with a student Liaison Committee in which course policy, examination policies, etc., are discussed. Concerns of the

students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

VI. BUDGET PREPARATION:

A budget for the department shall be prepared and established in accordance with the Department's Medical Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Chair, in consultation with the Division Chiefs and upon completion will be presented to the Committee by the Chair.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan.

VII. STUDENT PARTICIPANT:

Number of Students Involved--Student participation will be considered on a case-by-case basis.

Method of Selection for Committee--same as above.



Dean and Vice President  
for Clinical Affairs  
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October 8, 2009

Frederick deBeer, M.D., Chair  
Department of Internal Medicine  
College of Medicine

Dear Dr. deBeer:

The Provost has approved the department's request that faculty support letters for appointment, promotion or tenure, at all ranks, be limited to the appropriate divisional consulted faculty members.

Please incorporate this into the departmental rules and procedures.

Sincerely,

A handwritten signature in black ink, appearing to read "Jay A. Periman".

Jay A. Periman, M.D.  
Dean, College of Medicine  
Vice President for Clinical Affairs  
Charles T. Wethington, Jr. Chair in the Health Sciences

JAP:cb

Enclosures



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September 23, 2009

Kumble Subbaswamy, Ph.D.  
Provost  
University of Kentucky

Dear Dr. Subbaswamy:

Dr. Frederick deBeer, with the support of the departmental faculty, has adopted the policy that faculty support letters for appointment, promotion or tenure, at all ranks, be limited to the appropriate divisional consulted faculty members.

Pursuant to the Governing Regulations, GR VII, Page 11, I support the department's request and seek the Provost's approval to incorporate this into the departmental rules and procedures.

Sincerely,

A handwritten signature in black ink, appearing to read 'J. Perman', written over a large, stylized circular flourish.

Jay A. Perman, M.D.  
Dean, College of Medicine  
Vice President for Clinical Affairs  
Charles T. Wethington, Jr. Chair in the Health Sciences

JAP:cb

Enclosures

*approved 10/5/09*  
*K.R. Subbaswamy*

*Reviewed*  
*Heidi M. Anderson*  
*9-30-09*



September 22, 2009

Jay A. Perman, M.D.  
Dean, College of Medicine  
University of Kentucky  
138 Leader Avenue  
Lexington, KY 40506-9983

RE: Policy Regarding Letters of Support

Dear Dr. Perman:

Pursuant to University GR VII, exception #5, the Department of Internal Medicine at the College of Medicine has adopted the policy that in promotion and tenure matters, required consultation with faculty members is limited to the tenured faculty of the academic division in which the individual under review holds appointment. If a faculty member holds appointment in more than one division, then all tenured faculty members in all involved divisions must be consulted. In addition, at the discretion of the Department Chair, further consultations may be requested from non-tenured faculty in the concerned division(s) and from tenured faculty in other closely related divisions. Currently, the Department of Internal Medicine defined academic divisions are:

Allergy and Immunology  
Cardiovascular Medicine  
Digestive Diseases and Nutrition  
Endocrinology and Molecular Medicine  
General Internal Medicine and Geriatrics  
Hematology, Oncology and Blood and Marrow Transplantation  
Infectious Diseases  
Rheumatology and Women's Health  
Nephrology, Bone and Mineral Metabolism  
Pulmonary, Critical Care and Sleep Medicine

This policy has been reviewed with opportunity for comment by the division chiefs and the faculty in Internal Medicine at large.

Sincerely,

A handwritten signature in blue ink, appearing to read 'F. de Beer', written over a horizontal line.

Frederick C. de Beer, M.D.  
Jack M. Gill Professor and Chairman  
Department of Internal Medicine

College of Medicine  
Frederick C. de Beer, M.D.  
Jack M. Gill Professor  
Chairman, Department of  
Internal Medicine  
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859 257-5116  
fax 859 257-8364  
email: fcdebel@uky.edu  
www.uky.edu



The director shall speak for the school. In the event that the director believes it necessary to depart from the recommendations of the school faculty, the director shall communicate the school faculty's recommendation as well as the director's recommendation, stating reasons for differing from the school faculty's opinion, and notify the school faculty of such action.

5. Chairs of Departments

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 employees of the department, promotions, reappointments, terminal appointments, post-retirement appointments, the granting of tenure, and decisions not to reappoint.

Procedures used in preparing recommendations shall be those established by the University, the college, and the department faculty. At a minimum, on matters relating to decisions not to reappoint, reappointment, terminal reappointment, or the granting of tenure of persons in any title series, the department chair shall consult with all tenured faculty members of the department. At a minimum, on matters relating to appointment or promotion of any persons in any tenure-eligible title series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department, with a rank at or above the rank to which the individual being considered would be appointed or promoted. At a minimum, on matters relating to appointment, decisions not to reappoint, reappointment, terminal reappointment, or promotions of persons in any tenure-ineligible series, the department chair shall consult with all full-time tenured and tenure-eligible faculty members of the department (GR VII.A(a)). 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 any multidisciplinary research centers or institutes, or graduate centers with which the individual is, or would be, associated, along with the recommendation of the chair.

On matters relating to appointment or promotion in the Clinical Title Series, Research Title Series, or Lecturer Series, the department chair shall also consult with all full-time faculty employees in the series of the individual under consideration who are at or above the rank to which the individual would be appointed or promoted. Faculty employees in

the tenure-ineligible series shall not be consulted on matters relating to appointment, reappointment, terminal reappointment, decisions not to reappoint, promotion or the granting of tenure of faculty employees in the tenure-eligible title series, except by invitation of the department faculty as provided below.

A department faculty may establish policies that extend the above minimum consultation requirements in faculty personnel matters to include the specified participation of other full-time faculty employees in any series in the department. Once these policies on extended participation privileges are approved by the department faculty (GR VII.A.6(a)) and reviewed by the department chair, the dean and Provost for consistency with the Governing Regulations, Administrative Regulations and rules of the College, and approved, these policies shall be incorporated into the rules document of the department.

The following exceptions may be made: (1) faculty employees on approved leave of absence or with a primary administrative, service, or other assignment outside the department, who are otherwise eligible to participate, may, but are not required to, provide written judgments on all recommendations; (2) faculty employees at the rank of Instructor in any title series participate only upon the granting of participation privileges by the department faculty, and, (3) in a large and diverse department, upon prior recommendation by the department faculty (GR VII.A.6(a)) and approval of the dean and the Provost, consultation with faculty employees may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

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.

#### 6. Directors of Multidisciplinary Research Centers and Institutes

The administrative officer of a multidisciplinary research center or institute is a director, who also shall be a faculty member in a department, school, or college. The director of a multidisciplinary research center or institute is charged with the planning, implementation, coordination, and efficient management of the program and activities of the center or institute. The director shall have the same responsibilities as those of a department chair relative to faculty members and staff employees with assigned duties in the center or institute. The director shall provide recommendations and advice to appropriate educational unit administrators concerning space, financial, and other resources, as well as the identification of faculty members for assignment of duties in the center or institute. The director shall submit the core budget request for the center or institute and administer this budget after its approval. In addition, the director may have other responsibilities delegated by the Executive Vice President for Research or other academic administrator to whom the center or institute is administratively responsible. In connection with the above major administrative functions, the director shall seek the advice of the faculty members of the center or institute, individually or as a group, or of advisory committees that may be appointed by the director of the center or institute or by the administrator to whom the center or institute is administratively responsible. The director shall speak for the center or institute and be an *ex officio* member of all of its committees and shall transmit the recommendations of the consulted faculty along with the director's recommendation, if these recommendations are different. Staff employees shall be consulted, when appropriate, by the director, in the development of administrative policies and on decisions that directly affect staff employees.

7. Director/Chair of Interdisciplinary Instructional Programs

The director/chair of an interdisciplinary instructional program shall be a member of one of the academic departments participating in the program.

The director/chair shall be responsible to the dean(s) of the college(s) in which the program is located and advise the dean(s) on personnel and other needs of the program in connection with budget planning. For these administrative purposes, the director/chair shall rely upon the advice of a committee drawn from faculty members participating in the courses composing the curriculum and shall transmit the recommendations of the consulted faculty along with the director/chair's recommendation, if these recommendations are different. Staff employees shall be consulted by the director/chair, when appropriate, in the development of administrative policies and on decisions that directly affect staff employees.

UNIVERSITY OF KENTUCKY

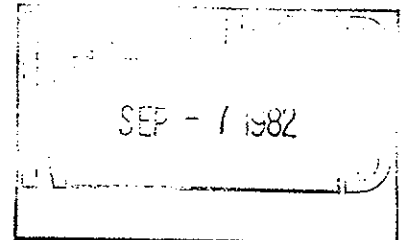
LEXINGTON, KENTUCKY 40506-0032

*J. H. Lince*  
*JR*

OFFICE OF THE PRESIDENT

September 2, 1982

Dr. Peter P. Bosomworth  
Chancellor for the Medical Center  
206 Medical Center Annex 2  
Campus 00802



Dear Dr. Bosomworth:

This is in response to your letter of August 11, 1982 recommending that, under the provision of Part VII.A.6.(4) of the University of Kentucky Governing Regulations, the Department of Medicine in the College of Medicine be allowed to restrict consultation on appointments, reappointments, promotions, etc. for ranks below associate professor to members of the concerned division in the Department.

Since there was no indication that the faculty of the Department of Medicine had acted to recommend restricted consultation, and such was confirmed by Dr. Sears through a discussion with Dr. Thompson, it was necessary to delay consideration of your recommendation until the departmental faculty met and made a recommendation on the matter.

Now that written confirmation of the departmental faculty's support of the recommendation has been received and everything appears to be in order, I approve the proposed restricted consultation of faculty on appointments, reappointments, promotions, etc. in the Department of Medicine in accordance with the guidelines accompanying your recommendation.

Sincerely,

*O. A. Singletary*  
Otis A. Singletary  
President

ef

cc: Dean D. Kay Clawson  
Dr. John S. Thompson

# UNIVERSITY OF KENTUCKY

LEXINGTON, KENTUCKY 40536

ALBERT B. CHANDLER  
MEDICAL CENTER  
COLLEGE OF MEDICINE  
OFFICE OF THE DEAN  
SORT NO.: 00842

AREA CODE: 606  
PHONE: 233-6582

August 9, 1982

Peter P. Bosomworth  
Chancellor  
for the Medical Center

Dear Dr. Bosomworth:

I am writing to ascertain the status of two separate requests concerning the procedures utilized by the College of Medicine and Department of Medicine pertaining to the appointment, promotion and granting of tenure to faculty.

1. Under the provisions of part VII-B-6--(4) of the University Governing Regulations the Department of Medicine with my support requests the following:

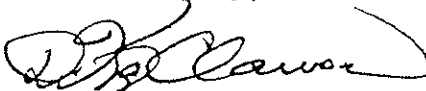
To have Division input only on appointments below the rank of Associate Professor with full Department input on appointments to the ranks of Associate Professor and Professor.

2. Separately, I have asked that the Governing Regulations be changed so that faculty whose primary assignment is outside of their academic department not be required to submit letters of evaluation concerning faculty appointments and promotion actions and also that faculty members who are on leave of absence or assignment away from the University not be required to write letters of evaluation during that period of time. My files indicate that you supported these recommendations in a letter to President Singletary dated June 9, 1982. As of this date I am unaware of any action being taken on your request.

It appears that perhaps both of the above requests are being lumped together. I would hope they can be handled separately since the first should be a routine action of the President while the second may be somewhat more involved.

I would appreciate an update on the status of these requests.

Most sincerely,



D. Kay Clawson, M.D.  
Dean, College of Medicine

DKC/tr

cc: John S. Thompson, M.D.

**DEPARTMENT of MICROBIOLOGY, IMMUNOLOGY AND MOLECULAR  
GENETICS**

**University of Kentucky  
College of Medicine**

**RULES OF PROCEDURE**

**I. DEPARTMENTAL ORGANIZATION AND OVERVIEW**

**A.** While not a formal part of the departmental regulations, a successful practical approach to departmental philosophy, organization and governance is in practice. Specifically, the Department of Microbiology, Immunology and Molecular Genetics functions as a consensus democracy or a benign autocracy depending on your point of view. In practice, the two tend to merge and become indistinguishable if the Chair functions effectively and successfully reads the pulse of the faculty. This Chair accepts the administrative responsibilities of the Chair but tries very hard to function as any other faculty member with respect to academic issues. In addition, there are other parts of this document in which common practices are indicated. The Department has a Vice Chair appointed by the Chair.

**B.** This document, for the most part, covers only those issues related to faculty governance, where there is formal faculty participation in the process. Administrative areas, where the decisions are made directly by the Chair, without a formal process of faculty input, are for the most part not detailed. However, it is important to point out that it is felt to be important for the Chair to seek informal faculty advice and discussion on virtually all issues prior to making decisions. Examples of such issues include but are not limited to teaching assignments, space allocations, resource allocation, budget, Department, College and University committee assignments.

**C.** Budget Preparation: A Department budget is prepared yearly and a unit budget is prepared as required by the Dean's office and in accordance with College requirements. Budget requests are received from the departmental fiscal faculty. The Chair prepares the budget for the department in accordance with the University of Kentucky's Policy and Procedures. General budgetary issues may be discussed at faculty meetings. Student input is sought when appropriate.

**D.** The Department has the following standing committees: Executive Committee, Computer Committee, Seminar Committee, Faculty Evaluation Committee and Microbiology Educational Policies and Practices Committee. Other *ad hoc* committees are appointed as necessary. The departmental Chair appoints all Committee members and designates the committee chair. Committee members serve for three years and may be reappointed. In general, appointments are made with the goal of achieving representation of different research areas and of junior and senior faculty. Committee composition and functions are as follows:

**1. Executive Committee:** Consists of three senior faculty members and is advisory to the Chair with respect to space allocation, utilization of Department funds and other areas where additional input is useful (meets as needed).

**2. Computer Committee:** Consists of two faculty members, the Department computer specialist, a graduate student and the Department Business Manager and is charged with making recommendations to the Chair concerning the present and future use and expansion of computer facilities (meets when recommended by Chair).

**3. Seminar Committee:** Consists of two faculty members and is charged with running the Department outside speaker seminar program.

**4. Faculty Evaluation Committee:** Consists of all Professors and Associate Professors and is charged with reviewing all junior faculty on a yearly basis and making recommendations for promotion/tenure consideration. For purposes of evaluating Associate Professors, the committee

consists of only Professors. Meets yearly, plus as needed. The specifics of committee considerations, detailed below.

**5. Microbiology Educational Policies and Practices Committee (MEPP):** The MEPP committee is a committee, representing the Graduate Faculty of the Microbiology Graduate Program. The committee is chaired by the Director of the Microbiology Graduate Program (recommended by the Department Chair with appointment by the Dean of the Graduate School) and consists of four additional faculty members appointed by the Chair of the Department of Microbiology, Immunology and Molecular Genetics. In addition, there is one student member elected by the graduate students in Microbiology, Immunology and Molecular Genetics. Faculty appointments are made with the goal of achieving representation of different research areas within the Microbiology Graduate Program and of junior and senior faculty. This committee oversees all aspects of the Microbiology Graduate Program (meets as needed but generally monthly, see below for details).

**E.** The Department supports research in the areas of microbiology, immunology, cell and molecular biology, molecular genetics, and virology. Our goals are to: 1) facilitate research within the department with strong emphasis on development of junior faculty; 2) encourage, support and maintain stable research programs among senior faculty; and 3) encourage research collaborations within the Department, the University and the broader research community.

**F.** Departmental faculty serve on departmental, college, and university committees, as requested, with attention being given to assure a proper balance between assignments and the primary requirements for education and research.

**G.** The Department has substantial teaching commitments to Medical, Dental, Graduate, and Undergraduate students. Our major goal, in this area, is to provide a high quality learning experience for all students. In addition to its didactic teaching, the Department is firmly committed to mentoring graduate students and postdoctoral scholars and residents, providing research opportunities for undergraduate, dental and medical students, providing research opportunities, and training for junior clinical faculty

**H. *Establishment and Modification of Rules and procedures:*** Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution. New rules or procedures are generally implemented in compliance with changes in College and/or University changes. When the Department independently changes rules or procedures, it is generally after discussion and arrival of consensus at a faculty meeting or a vote, if called for.

**I. *Copies of Rules:*** All Governing and Administrative Regulations, Business Procedures, and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff.

## **II. FACULTY INFORMATION**

### **A. Faculty Meetings**

The Department has a monthly faculty meeting which serves several important functions including exchange of information among faculty and between the Chair and faculty, discussion of important academic and administrative issues and provide an opportunity for various committee Chairs and participants to bring issues to the faculty for their discussion and input. The meeting is chaired by the Chair and is run by Common Sense Rules of Procedure. All participants receive agendas (invitations) at least 24 hours prior to the meeting. In the event that the Chair is not present and a meeting is held, it is chaired by the Vice-Chair. Faculty are informed of each forthcoming faculty meeting and given the opportunity to add agenda items. At the faculty meeting, faculty are also asked if they have any other issues, or questions that they wish to present. The faculty only occasionally votes on issues at this meeting; however, careful assessment of faculty points of view and opinion is registered and forms the crucial element in subsequent decision making by the Chair. Minutes of each meeting are maintained in

the Department Administrator's Office. Any faculty member has the right to call for a vote on any action issue. In the event of a vote, >50 % is required to pass a motion. The meeting is attended by all fiscal faculty (full faculty appointees in Microbiology, Immunology and Molecular Genetics), the Department business manager and active joint appointees. A modest lunch, consisting of sandwiches, is provided.

**Number Needed to Request a Special Meeting:** Special meetings may be called by the Department Chair or designee or upon call by three (3) voting members or twenty percent (20%) of the voting members, whichever is larger. The Chair shall call the meeting within two weeks.

**Quorum Necessary for Transaction of Business:** Transaction of business requires a quorum of greater than 50% of the faculty. Action taken at meetings shall require approval by a majority vote of faculty members present and voting. Advance notice will be given, if possible, if an issue is to be voted on. In general, important issues will be discussed and voted on at a subsequent meeting.

**Conformity to Open Meeting Act:** The Department of Microbiology, Immunology and Molecular Genetics complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

## **B. Appointment of New Faculty**

### **1. Regular Title Series**

a. When a faculty vacancy arises, a decision as to the scientific/teaching area of the new faculty member is made by the Chair, after consultation with the faculty and assessment of the teaching and research needs of the Department and College. Based on the research/teaching area of the proposed faculty member, the Chair appoints a search committee, which may include at least one faculty member outside the Department. One member of the committee is appointed by the Department Chair to chair the Search Committee. The Search Committee is charged with providing the Department Chair with a list of two to three candidates in order of preference.

b. During the search process, the faculty are informed, at faculty meetings, of the progress of the search and candidates may be discussed at a faculty meeting. During visits of candidates, a seminar and chalk talk are presented and as many faculty as possible are provided with an opportunity to visit with the candidate. Once the list is narrowed to a few candidates, second visits, which may include a spouse or significant other, are conducted and faculty who previously did not meet with a candidate are generally provided such an opportunity. There is active interaction between the search committee and the Chair during the process. All faculty are encouraged to provide written evaluations of candidates to the search committee, as are individuals from other units, who meet with prospective faculty candidates. Based on the assessment of the Search Committee and faculty evaluations, the Committee provides a recommendation to the Department Chair. The Department Chair generally meets with the Search Committee or the Chair of the Search Committee to be informed of the basis for the choice(s) and generally proceeds to offer a position based on the recommendations of the Search Committee. If the Department Chair disagrees with the Search Committee, these differences are discussed with the Committee and an appropriate course of action is agreed upon. The ultimate responsibility for offering a position rests with the Chair; however, when the Chair and Search Committee maintain an active and productive dialogue throughout the search process, agreement on the final candidate is generally a straightforward process.

### **2. Research Title Series**

a. Faculty appointments to the Research Title Series in the Department of Microbiology, Immunology and Molecular Genetics reflect the usefulness and importance of providing opportunities for quality scientists to conduct research in areas that are synergistic with ongoing programs or that provide expertise and an intellectual base that will enhance Department programs or national stature. Research Title faculty are expected to initiate and maintain a research program



"supported by contracts, grants, or other designated funds." In the Department of Microbiology, Immunology and Molecular Genetics, Research Faculty can be members of the Graduate Faculty. Research Faculty contribute service relating to their expertise to the Department and, as Graduate Faculty, serve on committees appointed by the Vice President of Research and Graduate Studies, and the Dean of the Graduate School.

**b.** As described in the University Regulations, Research Title Series appointments are of "limited and specified duration", and renewable, as defined by University regulations. Research faculty conducting research that enhances the breadth of research by individual Regular Title Series faculty typically will be given laboratory space within that occupied by that faculty member. If the research carried out by research faculty is completely distinct from existing programs, separate laboratory space may be provided. As with other faculty in the Department, the space provided is subject to review by the Chair.

**c.** Research title appointments are generally initiated by recommendation to the Chair by a faculty member who wishes to expand his/her research laboratory and has sufficient funds to do so. The prospective candidate(s) is initially reviewed by the faculty member; however, prospective appointees are required to give seminars and be evaluated by the faculty prior to appointment. Research faculty are evaluated by the senior faculty, as described for Regular Title Series faculty, with respect to promotion, reappointment, terminal appointment, etc, with modifications of evaluation criteria, as appropriate for this title series.

### **3. Joint Appointments**

**a.** The Department of Microbiology, Immunology and Molecular Genetics has a positive attitude toward the joint appointment of faculty from other departments where there is potential for mutual benefits from such appointments. Examples of such mutual benefits include participation of the joint appointee in the teaching, graduate education, and research programs of the Department. Joint appointments are made for five-year periods and are renewable based on continued mutual interests and evidence of participation of the joint appointee in programs in Microbiology, Immunology and Molecular Genetics. Joint appointments are made by the Chair with the advice of the senior faculty. Each prospective joint appointee is required to submit a CV, a letter outlining his/her reasons for desiring a joint appointment and present a research seminar. The Chair distributes the CV and letter outlining the prospective joint appointee's reasons for desiring a joint appointment to the senior faculty, who meet after the completion of the seminar. If, based on the discussion of the joint appointee by the senior faculty, the Chair decides not to offer a joint appointment then the prospective joint appointee is so informed. If a joint appointment is offered, a dossier is prepared and submitted to the Dean of the College of Medicine for appropriate action.

**b.** All joint appointments are for a five-year period and are renewable based on a continuing mutual interest between the department and the joint appointees. Prior to the five year renewal period, the Chair sends each joint appointee notification, of the pending end of his/her appointment, and requests a letter indicating whether or not the individual is interested in continuing the joint appointment, and, if so, what the appointee anticipates the basis of the continuing relationship, with the Department, will be. The Chair and the Senior Faculty review these letters and the past performance of the joint appointees and decide on their reappointments.

### **4. Post-retirement appointments**

Post-retirement appointments are made on an individual basis in consultation with the Dean of the College of Medicine.

## **C. Distribution of Effort**

The Chair, in consultation with the faculty member, determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

## **D. Mentoring for New Faculty**

All new faculty will have a mentoring committee consisting of a Chair and two additional faculty members one of whom should be a member of the Department. The Chair will be appointed by the Department Chair with the advice and consent of the new faculty member. The remainder of the committee will be appointed by Department Chair with the advice and consent of the Chair and the faculty member. The committee will be expected to provide ongoing support and advice for the faculty member on an informal as needed basis. In addition, the Committee will meet with the faculty member every two months in a more formal manner to discuss research focus, problems, publications, review grant and publication critiques, consider timing for grant submissions, discuss teaching, etc., throughout their probationary period. The committee will provide the Department Chair with a general assessment of the faculty member's progress on a yearly basis and will notify the Chair as necessary if there is anything the Department Chair can do to support or help advance the faculty members career and progress toward promotion and tenure.

## **E. Faculty Evaluations**

1. All Assistant Professors are evaluated on a yearly basis with respect to performance and progress to promotion and, for Regular Titles Series faculty, tenure, by a Faculty Evaluation Committee consisting of the senior faculty (Associate and Full Professors) under the direction of the Chair. Associate Professors are reviewed by a similar committee consisting only of the Full Professors. Full Professors are reviewed by the Chair.
2. For the review process, all faculty are required to provide updated CV's to the evaluation committee as well as being given the opportunity to provide any additional information that they believe would be germane to their evaluations. In the case of Assistant Professors, the review concentrates on performance elements involved in the advancement to promotion and, for Regular Title Series faculty, tenure, as outlined in the Department guidelines (Addendum I for Regular Title Series Assistant Professors). Publications, intramural and extramural grant activity, teaching, service and cooperation are all discussed and appropriate written recommendations provided to the faculty member. In evaluation of Associate Professors, similar areas are considered but additional emphasis is placed upon national and international activities and recognition and broader participation and leadership within and outside the University community, as outlined in the Department guidelines (Addendum II for Regular Title Series Associate Professors). In the case of Full Professors, the Chair again considers similar activities but with the expectation of enhanced activity and leadership by Full Professors.
3. During the discussion of each faculty member, the Chair takes notes and a consensus evaluation and recommendations are agreed upon for each evaluatee. Based on the discussion, the Department Chair prepares a written evaluation and recommendations for each faculty member. The Department Chair prepares a similar evaluation with appropriate recommendations for each Full Professor. Information that emerges from this process is used by the Chair in the distribution of effort assignments and merit increases.
4. While the evaluation and recommendations concentrate on the prior year's activities, previous performance is also considered as areas such as publications and grants often show substantial differences from year to year that are less reflective of overall performance than is faculty activity over a longer time period.
5. The Chair provides each faculty member with a copy of his/her evaluation and meets with each individual to discuss the evaluation. At this time, any areas of the evaluation, with which the faculty member disagrees, are discussed and, if appropriate, changes in the numeric and/or written

evaluation and recommendations are made. The numeric evaluation form and written evaluation and recommendations are then submitted to the Dean. In the rare event that the Chair and the faculty member can not agree upon the evaluation, the faculty member certainly has the right to meet directly with the Dean.

6. The Department Chair meets with the Dean to discuss evaluations and, if changes are requested by the Dean, they are discussed and appropriate modifications made. If modifications are required as a result of the meeting of the Chair and Dean, the Chair would then meet again with the faculty member to discuss such modifications.

7. As part of the evaluation process, the evaluation committee makes recommendations to the Chair for reappointment or terminal appointment of faculty, and for consideration of promotion from Assistant Professor to Associate Professor, with tenure for Regular Title Series appointees, or from Associate Professor to Full Professor. Such recommendations are acted upon by the Chair, as outlined in the following section, Promotion and Tenure Process.

## **F. Promotion and Tenure Process**

Faculty are recommended for reappointment, promotion, and tenure by the Department Faculty Evaluation Committee after a thorough discussion of the faculty member's credentials, as discussed in the description of faculty evaluations above. Upon receipt of such a recommendation, the Chair meets with the faculty member and provides him/her with a memo outlining the information needed to assemble an official promotion dossier to send to the Dean's Office. The faculty member is asked to provide a list of students, faculty in other UK departments and faculty experts, from other institutions, to participate in the faculty member's review. The Chair selects some individuals from this list and adds additional reviewers, as deemed necessary so as to provide a fair and impartial evaluation. The purpose is to obtain an "arms-length" review of the scientific contributions and qualifications of the faculty from independent experts, who are well respected colleagues at other institutions. The faculty member is also asked to provide four representative publications to be sent to the outside reviewers. The Chair then sends an updated CV to appropriate students and appropriate faculty, in other UK departments, with a detailed memo asking for their input into the evaluation process. Similarly, a CV, four representative publications and a cover letter are sent to the outside reviewers for their evaluations. All of the evaluation letters, as well as student teaching evaluations, faculty teaching evaluations, etc., are collected and made available to all tenured members of the department and all full-time, non-tenured faculty members with the actual or equivalent rank of Assistant Professor or higher, who have been members of the department for at least two years, for their assessment. Faculty members who are appointed in the Research Title Series are excluded from this category. Each faculty member is then asked to provide the Chair with a letter of support. When the dossier is complete the Chair makes an overall support, on the basis of departmental faculty letters, outside letters etc. and if there is strong support for tenure and/or promotion the dossier is submitted to the Dean. If there is not strong support then a meeting is called to decide whether to submit the dossier or delay its submission. The senior faculty (Professors and Associate Professors, in the case of promotion from Assistant to Associate Professor; and Professors, in the case of promotion from Associate Professor to Professor) meet to make a final decision on whether or not to submit the dossier to the Dean's Office. At that meeting, the Chair decides, based on the opinions and/or a vote of the faculty (>50%) whether the dossier should be sent to the Dean. We have never had a faculty member who wanted his/her dossier forwarded over the objections of the senior faculty and/or Chair; however, in the event that occurred, we would do so. Moreover, while we do not routinely provide faculty members with the opportunity to appear before the committee (nor has any faculty member ever asked to appear before the committee) faculty would be granted such an opportunity if they requested it.

## **III GRADUATE AND MEDICAL EDUCATION**

### **A. Microbiology Educational Policies and Practices Committee (MEPP)**

The MEPP committee is a committee of the Graduate Faculty of the Microbiology Graduate Program and is constituted, as described in section I. This committee oversees all aspects of the Microbiology

Graduate program. Some of the major responsibilities of this committee include the recruitment of new students into the graduate program, in rare instances directly, but generally from the IBS program; and proposals for the modification of existing education policies and the formulation and implementation of new policies and practices relevant to the graduate program including curriculum, laboratory rotations, qualifying exams. New or modified policies are brought to the graduate faculty at a faculty meeting for discussion and adoption. In addition, the MEPP Committee reviews the progress of each graduate student, on a yearly basis, at the end of the academic year. Any student found to be having academic problems is asked to appear before the committee to discuss the nature of his/her difficulties and generally given one additional year in which to correct the problem or be dismissed from the program. The committee convenes each month, the day prior to the general faculty meeting and the day after the Graduate Student Council Meeting.

- Note that with the inception of the Integrated Biomedical Sciences (IBS) program, effective for the Fall, 2001 entering class, the primary responsibility for student recruitment and overseeing graduate students during their first year has been delegated to the IBS program. Students will matriculate in Microbiology, Immunology and Molecular Genetics after the completion of the year 1 IBS curriculum. The IBS curriculum, student recruitment, etc., is overseen by a series of committees chosen by the Chairs of the participating departments, with the overall control of the program vested in the Basic Sciences Chairs.

## **B. Graduate Student Council**

The Graduate Student Council consists of four to five graduate students, one from each year, two through four and five-infinity from the Microbiology Graduate Program, elected by their peers to deal with issues related to the Microbiology Graduate Program, courses, faculty-student interactions, student participation in the Program etc. student requirements, curriculum, etc. In addition, the individual elected as a representative on the MEPPS committee will also serve on the graduate council. The monthly graduate council meeting is chaired by the Director of the Microbiology Graduate Program. In this way, issues of importance to our graduate students are then brought to the MEPP Committee meeting, the next day, by the Director. If necessary or of interest, the issues are then brought to the attention of our faculty the following day at the general faculty meeting. Any decisions made by the faculty are conveyed to the graduate council by the Director. This approach allows for a continuing dialogue between the faculty and our students with the aim of continuing to strengthen the Microbiology Graduate Program.

## **C. Medical Education**

Other areas of particular importance to the mission(s) of the Department are monitored, with great care, but without an elaborate review process within the department. A mechanism illustrative of this approach relates to the monitoring of medical education. Courses that are coordinated by one departmental faculty member typically are attended by the course director to gauge the flow of concepts and the quality of teaching. In addition, faculty not involved in the course, are encouraged to attend several lectures by their colleagues to provide additional guidance. The opinions, of the attending faculty, are considered in the yearly faculty reviews. The progress of the medical courses and any innovations, suggestions or problems are discussed at monthly faculty meetings. Longer-range issues of curriculum development also are discussed in this forum, as well as during course-development meetings held among course directors and faculty participating in teaching the courses. Microbiology, Immunology and Molecular Genetics graduate students also contribute to the departmental medical education mission by offering their services as tutors and by helping in the laboratories for the Immunity, Infection and Disease course for the Medical Students. Where appropriate, the department has representation on the College of Medicine curriculum review committee and so assessment of medical student education is, in part, a component of broader College of Medicine review. The Department, when possible, provides elective course opportunities for medical students. The Department of Microbiology, Immunology and Molecular Genetics is an active participant in the M.D./Ph.D. program at UK. MI Faculty help recruit students interested in this program and serve as mentors for interested, talented students. The Department offers quality advanced research training for clinical fellows in Dentistry and Medicine in its many medically related research

programs. In addition, the Department offers training opportunities/mentoring for junior clinical faculty in Medicine and/or Dentistry who wish to develop a research program.

## **D. Graduate Education**

### **1. Teaching Assignments**

Teaching assignments with respect to course coordinators for undergraduate, graduate and medical courses are made by the Chair usually after discussion with selected faculty. Once course coordinators have been assigned, it is their responsibility to choose faculty to participate in the course. In general, the Chair does not get involved in assigning lectures within a course unless it is necessary. The Chair periodically assesses the teaching obligations of all the faculty to maintain a fair distribution of teaching effort.

### **2. Curriculum**

Major curricula changes are generally discussed at faculty and MEPP meetings and implemented by the Chair based on faculty consensus or a vote of the faculty, if requested. Issues pertaining to individual courses such as handouts, exams, content, etc., are generally handled by the Course Coordinator/Director and the participating faculty. A consensus is generally reached among all faculty teaching in the courses regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the assistance of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

### **3. Class Schedules**

The class courses offered by the Department are outlined in the graduate bulletins of the University of Kentucky.

### **4. Evaluations of Courses**

The Course Director provides a questionnaire/mechanism for evaluating courses and faculty participating in these courses, to the students and prepares a summary of these findings for the Departmental Chair. Both the original evaluation and the summary are maintained on file in the Department office. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

**ADDENDUM I Promotion and Tenure Guidelines for Assistant Professors, Regular Title Series.** As specified in AR II-1.0-1 of the University's Policies and procedures manual, faculty members in the Regular Title Series will be evaluated for appointment at the level of Associate Professor and promotion from Assistant Professor to Associate Professor using four basic criteria. These involve their performance in: 1) teaching, advising and other instructional activities; 2) research and other creative activities; 3) recognition; and 4) professional, university and public service. More specifically, the expectations for promotion in the Department of Microbiology, Immunology and Molecular Genetics are interpreted from the ARs as:

**1. Teaching, advising and other instructional activities:** Faculty are required to participate in the teaching of departmental courses, IBS courses and seminar programs. Teaching will be assessed through a combination of written evaluations by colleagues participating or monitoring the course, and by student evaluations. Furthermore, it is expected that faculty will take an active role in mentoring graduate students, and, where possible undergraduate students. This would include serving as either primary mentor of a graduate student or serving on graduate student committees.

Evaluation of mentoring accomplishments will be made through analyses of track records of graduated students and solicited letters from present and former students. Minimally, it is expected that the ratings for teaching and mentoring are good based on a composite of peer and student evaluations.

**2. Research and other creative activities.** Faculty are required to develop an independent and nationally recognized research program. The parameters to be used in evaluating the prominence of a research program will include: A solid track record of high quality publications as a principal author in peer reviewed journals. It is expected that the faculty member will average at least one manuscript per year, as the corresponding author in a high quality, peer-reviewed journal. Collaborative research and resultant joint publications are encouraged and will be weighted appropriately, based on the actual contributions, in evaluation of research. As a general rule, at least 5 manuscripts should be derived from research performed at the University of Kentucky.

**3. Recognition:**

- a) A strong track record of independent extramural research grant support from peer reviewed funding agencies such as NIH, DOD, AHA, DOE and NSF. At the time of promotion, the faculty member should be the P.I. of an R01-like grant from at least one of these funding agencies. Ideally, a faculty member should have had an extramural grant renewed or a second extramural grant funded.
- b) Invitations to present research at national and/or international conferences.
- c) Participation in the peer review process and/or journal article reviewing or editorial responsibility.
- d) Guest lectures at Universities or Research Institutes.
- e) Outstanding impact (citation index) of journal articles.
- f) Peer acknowledgement through solicited letters from leaders in the faculty member's area of research

**4. Professional, university and public service:** Service to the University, College of Medicine, the Department and community at large will be assessed by evaluating the track record of the faculty member's participation in university committees, college committees, departmental committees and community services.

It is important to recognize that these are guidelines and not strict definitions for promotion. Exceptional or outstanding performance in one area can compensate for lesser performance in another area.

## **ADDENDUM II Promotion Guidelines for Promotion from Associate Professors to Professor, Regular Title Series**

As specified in AR II-1.0-1 of the University's Policies and procedures manual, faculty members in the Regular Title Series will be evaluated for appointment at Full Professor and promotion from **Associate Professor to Professor** using four basic criteria. These involve their performance in: 1) teaching, advising and other instructional activities; 2) research and other creative activities; 3) recognition; and 4) professional, university and public service. In general, at the level of Professor compared to Associate Professor we expect a more mature and fully developed faculty member as evidenced by research program breadth, funding strength, expanded recognition, and expanded leadership in education. More specifically, the guidelines for promotion in the Department of Microbiology, Immunology and Molecular Genetics, are interpreted from the ARs as:

**1. Teaching, advising and other instructional activities:** Faculty are required to participate in the teaching of departmental courses and seminar programs. It is expected that faculty members will have shown leadership by playing an active role in the design and implementation of Departmental courses through service as course director, as the primary instructor of a designated course or through their participation as a lecturer. Teaching will be assessed through a combination of written evaluations by colleagues participating or monitoring the course, and by student evaluations. Furthermore, it is expected that faculty will take an active role in mentoring graduate students, and, where possible, undergraduate students. This would include serving as either primary mentor of graduate students or serving on graduate student committees. Evaluation of mentoring accomplishments will be made through analyses of track records of graduated students and solicited letters from present and former students.

**2. Research and other creative activities:** Faculty are required to maintain an independent and nationally/internationally recognized research program. The parameters to be used in evaluating the prominence of a research program will include: A strong track record of high quality principal author publications in peer reviewed journals. The faculty member is expected to have a sustained record of publications, as the corresponding author in high quality, peer-reviewed journals. Collaborative research and resultant joint publications are encouraged and will be weighed appropriately, based on the level of participation, in evaluation of research.

**3. Recognition:**

a) A strong track record of independent peer reviewed extramural research grant support from major funding agencies such as NIH, DOD, DOE, ACS, AHA and NSF. At the time of promotion, the faculty member should be the P.I. of at least one but preferable two RO1-like grant from at least one of these funding agencies. Also, as a demonstration of peer-acknowledged productivity, the faculty member should have a record of sustained extramural funding.

b) Invitations to present research at national and/or international conferences;

c) Invitations to chair symposia or sessions at national or international meetings

d) Participation on editorial boards, study sections (as a permanent member or frequently invited *ad hoc* member), grant funding panels, etc.

e) Outstanding impact (citation index) of journal articles

f) Peer acknowledgement through solicited letters from leaders in the faculty member's area of research

**4. Professional, university and public service:** Service to the university, college of medicine, the department and community at large will be assessed by evaluating the track record of the faculty member's participation in university committees, college committees, departmental committees, community services and service in national and international professional organizations.

It is important to recognize that these are guidelines and not strict definitions for promotion. Exceptional or outstanding performance in one area can compensate for lesser performance in another area.

**DEPARTMENT OF MOLECULAR & BIOMEDICAL PHARMACOLOGY**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. BASIC PROCEDURES:**

*Faculty Involvement in Educational Policy Making:*

1. *Academic Requirements* - The Department is responsible for teaching Mechanisms of Disease and Treatment (MD-824) to the second year medical students in the College of Medicine, for sharing responsibility with Anesthesiology for teaching Advanced Pharmacology and Clinical Anesthesiology (MD-842) to the fourth year medical students in the College of Medicine, for teaching Dental Pharmacology (OBI-836 and for teaching multiple graduate courses. For each course, a Course Director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Specific policies are stipulated in the course syllabus which is distributed to the students each year. The faculty discuss problems and needed changes in course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching. The Course Director meets regularly with students to assess course policy, examination policies, etc. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.
2. *Courses of Study* - See Academic Requirements above
3. *Class Schedule* - See Academic Requirements above
4. *Graduate Programs* – The Chair appoints a Director of Graduate Studies from among the tenured faculty. With regard to specific policies regarding graduate education, a set of guidelines and policies has been developed through general discussion of the faculty, in consultation with the Director of Graduate Studies and the Chair. These are made available to all students presently enrolled and to those entering the Graduate program. However, policies regarding graduate education will also be flexible and subject to change as conditions and advances so warrant. Ongoing implementation and interpretation of these policies will be conducted as needed by the Graduate Committee. The Graduate Committee usually consists of four members, including the Director of Graduate Studies. Any recommendations of the Graduate Committee or changes in these policies will be disseminated among the faculty and the students as they develop. As noted earlier, these changes, particularly when they involve major structural and organizational changes, will be considered by the faculty as a whole, who will take under advisement the comments and solicited input from graduate students regarding graduate courses and the graduate program and will consider these views and comments in faculty or Graduate Committee meetings.
5. *Research Programs* - The department's goals in this area are as follows: 1. To further strengthen national recognition by, in particular, supporting and facilitating high-quality manuscript and research grant submission, placing strong emphasis on interactions among senior and young faculty; and 2. To encourage and sustain strong projects by faculty using multiple approaches, including use of salary reimbursement/indirect cost funds for investment in state-of-the-art equipment and technology, pilot and interim funding, and collaborative projects as well as consultations by the Chair and senior faculty to help faculty submit competitive grants.



6. *Service Functions* - Departmental faculty serve on department, college and university committees as assigned, with attention being given to assure a proper balance between such assignments and the primary requirements for education and research.

*Faculty Involvement in Developing Procedures for the Following Areas:*

1. *Appointing Faculty Members* - The Chair calls a faculty meeting to discuss the requirements and goals of the Department and the general direction in which the hiring of new faculty should proceed. Based upon the discussion of the faculty, as well as the Chair's long-term perspective or goals, a decision is made regarding the type of faculty and the areas of expertise in which to recruit. Once this is done, the Chair will either appoint a Search Committee with a Committee Chair, or will ask individual faculty members to undertake initiation of the recruitment process, including advertising, etc. Once a series of resume and CV's has been received, these will be made available to the faculty for their comments. Based upon these evaluations and the Chair and Search Committee's evaluations, a short list of candidates will be selected. These may be invited to visit, present a seminar and meet with the faculty. Whenever possible, all candidates will meet with all members of the faculty. The faculty will then be asked to provide input to the Chair and decisions on the appointment of new faculty will be made after open discussion among the faculty and upon their advice to the Search Committee and to the Chair.
2. *Reappointments* - The faculty is not involved in the reappointment of non-tenured faculty.
3. *Terminating Faculty* - The Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department and with all full-time, non-tenured members of the department (except those appointed in the Research Title or Visiting Title Series) with the actual or equivalent rank of assistant professor or higher, who have been members of the department for two years.
4. *Decisions to not Reappoint* - Same as Reappointment above
5. *Post-Retirement Appointments* - Same as Reappointment above
6. *Promotion and the of Granting Tenure* - All faculty in line for promotion are discussed and evaluated by an Executive Committee consisting of all tenured departmental faculty, or with the advice of, a sub-population of the faculty consisting of all members of the faculty in ranks senior to that of the faculty member under consideration for promotion. The yearly Faculty Evaluations are also used as one measure of determining a faculty member's suitability for promotion. Based upon this advice and these evaluations, the Chair will then decide to support, or not to support, the faculty member for promotion. The criteria for promotion in general follow those in operation in most major research and teaching Medical universities and depend upon the level of productivity in both academic scholarship and teaching performance. Final evaluation criteria will depend upon the agreed upon faculty distribution of effort, as well as the general job description, and will also depend importantly both on individual achievement as well as contributions to the cooperative efforts of the Department and institution. Guidelines for promotion are available to the faculty.
7. *Faculty Performance Evaluations* - Non-tenured faculty are evaluated on an annual basis by the Department Chair, while tenured faculty are evaluated during the first year of each biennium. These evaluations form the basis for consideration for promotion, as well as salary increments. These criteria are considered in relation to the faculty member's distribution of effort, and are available to all members of the faculty. In addition, junior faculty who have not yet achieved tenure are evaluated in a meeting of all faculty above the rank of Assistant Professor, to be held at intervals of no greater than two years apart. The junior faculty are then apprised of the evaluations of the faculty and Chair in a memo, pointing out strong points of the performance, as well as potential areas of deficiency and/or areas that may eventually lead to problems in terms of promotion. The Chair provides each faculty member with a summary of his/her

evaluation and meets with each to discuss the evaluation. At this time, the faculty member may discuss any area of the evaluation with which he/she disagrees and, if appropriate, changes can be made. The evaluations are then submitted to the Dean. After the Chair has met with the Dean and discussed the changes and/or modifications, they are discussed with the faculty member by the Chair.

8. *Preparation of Budget Requests* - The Chair of the department is responsible for budget preparation in accordance with the process developed by the college, Medical Center and the University.

*Establishing rules* - When major issues of educational restructuring or budgetary revisions arise in the Department, the general procedure is to discuss these issues in an open faculty meeting, obtaining the input of all those who wish to provide such input, and providing for open discussion of the various viewpoints of the faculty members. During the weighing of the pros and cons of the several viewpoints, and the different perspective on each issue, the general goal will be to reach an overall consensus of opinion. The majority opinion of the faculty during these discussions will be taken as the recommendation of the faculty serving in an advisory position to the Chair. With this input, the Chair will be responsible for making the final decision. If the Chair's decision, based on competing considerations, long-term goals, or other factors, is in contradiction to the clear opinion of the general faculty, the Chair will explain the reasons for choosing not to follow the faculty's advice. However, in most instances, the goal of the Departmental administration will be to achieve general consensus and agreement of opinion about issues, and will usually attempt to develop a preponderance of agreement in favor of one course or another.

*Governing and Administrative Regulations:* Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

*Modifying Rules* - See above

*Copies of Rules to All Faculty* - All Regulations and Rules of Procedure manuals are maintained in the Department Administrator's office and are available for review by all departmental faculty and staff.

## II. MEETINGS:

*Regularly Scheduled* - The faculty meets once each month, usually on the third Wednesday. Any faculty member may request an item to be placed on the agenda by submitting same to the Department Administrator's office prior to the meeting. The faculty may invite joint appointed faculty to participate but they will not have formal advisory voting privileges.

*Number needed to Request a Special Meeting* - Special meetings may be called by the Department Chair, or designee, or by other faculty, with approval of the Chair.

*Quorum Necessary for Transaction of Business* – Advisory actions taken at faculty meetings shall require approval by a majority vote of faculty members present and voting.

*Presided over by Chair or Delegate* - The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function to the Vice Chair or others.

*Minutes Available to Faculty* – When feasible, copies of departmental faculty meeting minutes are distributed to all members of the faculty of the department.

*Notification of Meetings* - The faculty is notified in writing of the date, time and place of the upcoming meeting. A tentative agenda is supplied with the notification that additional items may be added.

*Voting Policy* - Each faculty member shall have one vote. Voting by proxy shall not be allowed and voting by secret ballot will be used when approved by a majority of those present and voting.

*Conformity to Open Meeting Act* -- The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### III. COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with departmental faculty. The Department has several standing committees, including the Seminar Committee and the Graduate Committee. The Chair in consultation with faculty makes faculty appointments to departmental committees.

### IV. FACULTY PERSONNEL ACTIONS:

*Vice Chair* - The Chair can appoint a Vice Chair to assist with administrative duties, to assist with coordination and implementation of Departmental policies, and to provide leadership in the Chair's absence.

*Distribution of Effort* - The Chair meets with each faculty member to determine the annual distribution of effort assignment. The DOE form is signed by both the faculty member and the Chair.

*Evaluation of Faculty Performance* – Non-tenured faculty are evaluated on an annual basis by the Department Chair. Each faculty member submits an updated CV to the Chair as requested. The major areas of evaluation include: 1. Instruction, 2. Research and scholarly activity, 3. Administration, 4. Service 5. Professional activity. A copy of the evaluation form and a brief summary of outstanding performance for the past year and goals for the upcoming year are presented to each faculty member and discussed with the Chair. Signed evaluations are submitted to the Dean. Tenured faculty are evaluated during the first year of each biennium, any tenured faculty member, upon request, shall be granted an annual review.

*Appointments/Reappointments* - The Chair calls a faculty meeting to discuss the requirements and goals of the Department and the general direction in which the hiring of new faculty should proceed. Based upon the discussion of the faculty, as well as the Chair's long-term perspective or goals, a decision is made regarding the type of faculty and the areas of expertise in which to recruit. Once this is done, the Chair will either appoint a Search Committee or will ask individual faculty members to undertake initiation of the recruitment process, including advertising, etc. Once a series of resumes and CV's has been received, these will be made available to the faculty for their comments. Based upon these evaluations and the Chair's evaluation, a short list of candidates will be selected. These may be invited to visit, present a seminar and meet with the faculty. Whenever possible, all candidates will meet with all members of the faculty. The faculty will then be asked to provide input to the Chair and decisions on the appointment of new faculty will be made after open discussion among the faculty and upon their advice to the Chair.

*Promotion* - All faculty in line for promotion are discussed and evaluated with a sub-population of the faculty consisting of all members of the faculty in ranks senior to that of the faculty member under consideration for promotion. The yearly Faculty Evaluations are also used as one measure of determining a faculty member's suitability for promotion. Based upon this advice and these evaluations, the Chair will then decide to support, or not to support, the faculty member for promotion. The criteria for promotion (see below) in general follow those in operation in most major research and teaching Medical Universities and depend upon the level of productivity in both academic scholarship and teaching performance. Final evaluation criteria will depend upon the agreed upon faculty distribution of effort, as well as the general job description, and will also depend importantly both on individual achievement as well as contributions to the cooperative efforts of the Department and institution. Criteria for promotion are available to the faculty.

*Tenure* - See Promotion above

*Criteria for Promotion and Tenure in the Department of Molecular and Biomedical Pharmacology-*

For promotion from Assistant Professor to Associate Professor with Tenure (Regular Title Series), a faculty member should have met the following criteria:

- (1) The faculty member must show evidence of continuous satisfactory performance and professional growth. The faculty member must have initiated and maintained a nationally competitive, productive research program at the University of Kentucky. Evidence for a productive, nationally competitive research program would include peer-reviewed publications including both books and journals, successful training of graduate students and postdoctoral fellows, abstracts presented at national and international meetings, patents, and extramural funding. Peer-reviewed, extramural funding is a measure of the quality of a faculty member's ideas and research productivity as well as his or her national recognition.
- (2) The faculty member will have published, as the corresponding author, full-length original papers in national and/or international peer-reviewed journals since arriving at the University of Kentucky (i.e. with the University of Kentucky listed as the home institution). Because disciplines differ, no minimum number or quality of publications is specified, but as a working guideline, publications in journal with high impact factors (as rated annually and reported by *Current Contents*) such as *Science*, *Nature*, *Journal of Biological Chemistry*, *Proceedings of the National Academy of Sciences*, etc. will be given special consideration. Appropriate credit will be given for collaborative, secondary authorship publications, and non peer-reviewed publications such as books (authorship, editorship), book chapters and reviews.
- (3) The faculty member will have been a satisfactory teacher in formal courses administered by the Department.
- (4) The faculty member will have interacted successfully with fellow departmental faculty in teaching and research.
- (5) The faculty member will have served as primary mentor to at least one graduate student (M.S. or Ph.D. candidate) through the preliminary examination and well into their research program. The student should have exhibited evidence of progress in their research through authorship on an abstract or, preferably, a peer-reviewed publication.
- (6) The faculty member will also have assisted or counseled graduate or health science students on an informal basis.
- (7) The faculty member will have served satisfactorily on an important Departmental or Institutional Committee.
- (8) The faculty member will have demonstrated concern for the profession through participation in local and national professional organizations.
- (9) The faculty member will have received his/her Ph.D. degree at least 7 years before consideration for promotion.

It should be noted that these are only guidelines and exceptional performance in one area may compensate for lesser performance in another area.

For promotion from Assistant Professor to Associate Professor with Tenure (Academic Medical Educator Special Title Series), a faculty member should have met the following criteria:

- 1) Excellent service as Assistant Professor at UKCOM (or its equivalent elsewhere) with record of accomplishments in teaching service.
- 2) Continuing excellent and high-quality contributions to the teaching of medical students, dental students, graduate students, or other trainees. Recognition of excellence which may be available from formal peer evaluations, student evaluations, or teaching awards. Impact and value of teaching should be recognized beyond the local level, as demonstrated by invitations to teach in other schools, programs of professional societies, or continuing education courses.
- 3) Continuing publication of observations, reviews, or analytical studies in peer-reviewed journals that are recognized as authoritative.

**and/or**

Continuing development of teaching materials, including new curriculum offerings, instructional assessment and evaluation, contributions to licensure exams, on-line resources, educational programs, textbooks and chapters, syllabi, computer programs, or videotapes that make a unique contribution to the quality and method of teaching a given subject.

- 4) Excellent reputation inside and outside the UK community as authority in area of expertise. This may be demonstrated by invited visiting lectureships, consultancy, and membership in professional societies.

It should be noted that these are only guidelines and exceptional performance in one area may compensate for lesser performance in another area.

For promotion to *Professor (Regular Title Series)*, a faculty member should have met the following criteria:

- (1) The faculty member must show evidence of superior performance and professional growth.
- (2) The faculty member must have maintained a stably-funded and productive research program. The faculty member should have consistently maintained extramural support for their program in the role of Principal or Co-Principal Investigator during the duration of his/her departmental appointment.
- (3) The faculty member should have published at least 30 papers in peer-reviewed national/international journals prior to consideration for promotion. This, however, is a working guideline; publications in journal with high impact factors (as rated annually and reported by *Current Contents*) such as *Science*, *Nature*, *Journal of Biological Chemistry*, *Proceedings of the National Academy of Sciences*, etc., will be given special consideration.
- (4) The faculty member should have received his/her Ph.D. at least 12 years before consideration.
- (5) The faculty member is expected to be recognized at the national or international level for the quality of their research program. Evidence of such recognition includes, but is not limited to, service on an NIH Study Section or equivalent, service on editorial boards, invitations for seminars at symposia of national/international meetings, chairing or co-chairing workshops, symposia mini-symposia at major meetings, and invited seminars at other institutions.
- (6) The faculty member should have exhibited good-to-excellent teaching performance in formal courses, as judged by both student and peer evaluation. The member should also have served adequately as Course Director for three years or more in a Departmental or Medical Center-wide course, or shown leadership in some important aspect of curricular development.

(7) The faculty member will have cooperated with other departmental faculty in the teaching and research missions of the Department, and will have shown leadership in the development of research resources and/or junior faculty.

(8) The faculty member should have served successfully in the mentorship of at least two Ph.D. and/or postdoctoral fellows through their training.

(9) The faculty member will have shown evidence of leadership on an important institutional committee and on a department committee or initiative.

It should be noted that these are only guidelines and exceptional performance in one area may compensate for lesser performance in another area.

For promotion to *Professor (Academic Medical Educator Special Title Series)*, a faculty member should have met the following criteria:

- 1) Excellent service as Associate Professor at UKCOM (or its equivalent elsewhere) with important accomplishments in teaching service.
- 2) Recognition for being among the very best educators for medical students, dental students, graduate students, or other trainees. Impact of teaching should be apparent locally and nationally, and may be demonstrated by invitations to teach and by invitations to serve as visiting professor or named lecturer. Impact may also be recognized by success or stature of trainees.
- 3) Publication in peer-reviewed journals of analytical studies, comprehensive reviews, or textbooks and chapters that are recognized as exhibiting authoritative influence; may serve as editor of textbooks or journals.

**and/or**

Development of original teaching materials, such as new curriculum offerings, instructional assessment and evaluation, contributions to licensure exams, on-line resources, educational programs, syllabi, video materials, or computer programs that are widely used.

- 4) Acknowledged leader in the area of expertise. National reputation for superior accomplishments within area of expertise. This may be demonstrated by invitation to membership or fellowship in prestigious professional societies, other academic recognitions or awards, and leadership role in department as well as testimonials of distinguished academicians in same field.

It should be noted that these are only guidelines and exceptional performance in one area may compensate for lesser performance in another area.

## V. ACADEMIC MATTERS:

### *Academic Advising*

*Curriculum* - The course director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Specific policies in PHA-824 are stipulated in the course syllabus which is distributed to the students each year. The faculty discuss problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

*Class Schedules* - These are outlined in the syllabus which is distributed to the faculty and students each year.

*Evaluations of Courses* - The Course Director meets regularly with a student Liaison Committee in which course policy, examination policies, etc., are discussed. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

*Educational policies concerning teaching and research assistants.* The department follows the administrative regulations, AR 5:2, regarding education policies concerning teaching and research assistants.

*Educational policies to serve public service functions)* The department follows the education policies established in the Administrative Regulations, (AR 3:8 regarding policies to serve public service functions.

VI. BUDGET PREPARATION: Budgets shall be prepared and submitted by the Chair and Business Manager consistent with such format and specificity as established by the institution.

VII POLICY ON WHETHER THE FACULTY STANDARD PERSONNEL FILE IS KEPT IN THE OFFICE OF THE DEAN OR DEPARTMENT CHAIR/DIRECTOR (AR II-1.0-1.III)  
The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

VIII .STUDENT PARTICIPATION:

*Number of Students Involved* - One graduate student representative is chosen by the student's association to serve on departmental committees and to represent the entire graduate student body.

*Method of Selection for Committees* - As noted above

**DEPARTMENT OF MOLECULAR AND CELLULAR BIOCHEMISTRY**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

Last revised 11-18-09 revision 4

**I. BASIC PROCEDURES:**

**A. Faculty Involvement in Educational Policy**

**1. Academic Requirements, Courses of Study and Class Schedules**

Faculty have primary responsibility for the development of policies related to academic programs, courses of study, and class schedules. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding policies to serve public service functions.

**2. Graduate Programs**

The Curriculum Committee submits its recommendations for the graduate program to the faculty that in turn approve and modify as necessary.

**3. Research Programs**

The Department in conjunction with the Dean or a designee, has instituted research development initiatives to 1) facilitate research starts with emphasis on younger faculty; and 2) encourage research starts and pilot projects among faculty to establish external funding.

**4. Service Functions**

Faculty serve on Department, College, and University committees, as assigned by the Chair or as elected. It is the Chair's responsibility to pay attention to the level of service functions to ensure a proper balance between such assignments, education, and research.

**B. Faculty Involvement in New Appointments, Reappointments, Tenure and Promotion, Faculty Performance Evaluation, and Oversight of Department Rules of Procedure.**

The membership of the departmental faculty consist of the chair, full- and part-time faculty. Tenured and tenured track faculty possesses voting rights by virtue of their primary appointments in the department. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures. These are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined. The guidelines for promotion for the department are based on these definitions and are found in the documents herein.

**1. New Appointments**

The Chair consults with the Dean to secure approvals for faculty searches to fill vacancies on the primary faculty. The Chair appoints search committees to seek



candidates for faculty appointments. The search committees, with approval from the Chair, invite candidates for on-campus visits. The Chair seeks approval from the faculty, both tenured and untenured, for new appointments initially at a faculty meeting and subsequently in individual, written recommendations. A director of a multidisciplinary center and/or a chair of a department where a faculty member holds a secondary appointment also participate in the process.

The Chair seeks approval from the faculty for new, post-retirement appointments, initially at faculty meetings and subsequently in individual, written recommendations.

## 2. Reappointments

Tenured faculty with primary appointments in the Department participate in the review process for reappointments of non-tenured faculty. The tenured and untenured associate professors are normally reviewed every other year, and the untenured assistant professors are normally reviewed annually. Non-tenured faculty members must be formally reviewed after two and four years of residence. A director of a multidisciplinary center and/or a chair of a department where a faculty member holds a secondary appointment is consulted in the process. The Chair writes a letter to the non-tenured faculty member communicating the recommendations of the tenured faculty, before forwarding this recommendation to the Dean.

Tenured faculty participate in the review process for reappointments of faculty in post-retirement status.

## 3. Tenure and/or Promotion of Untenured Faculty

Tenured faculty with primary appointments in the Department participate in the review process for promotion and/or tenure of non-tenured faculty. When a candidate holds an appointment in another Department or multidisciplinary center, the director or chair of that unit may also contribute his/her evaluation to the Departmental review.

The process follows the guidelines set forth in the University Administrative Regulations and includes the preparation of a dossier with updated *vita*, a synopsis of past, present and future research interests and accomplishments, a history of research funding and, where appropriate, teaching experience and evaluation. This information is provided to tenured faculty, selected peers in other departments in this institution and at least six renowned scholars in the field who hold appointments at other institutions. Written recommendations obtained from referees are included in the dossier and are considered in deliberations of the faculty.

The Chair calls a special meeting of tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. The tenured and untenured associate professors are normally reviewed every other year; the untenured assistant professors are normally reviewed annually. Non-tenured faculty members must be formally reviewed after two and four years of residence. Information submitted by candidates for promotion to associate professor is sent to the tenured faculty for review prior to the scheduled meeting. Candidates may express dissent on these and other matters, in accord with promulgated University rules and procedures. The Chair gives a letter to the non-tenured faculty

member communicating the recommendations of the tenured faculty, before forwarding this recommendation to the Dean.

#### 4. Promotion of Tenured Faculty

Written letters are provided by the tenured faculty to the Chair as part of the dossier that is subsequently forwarded to the Dean when proposing a faculty member for promotion.

The Chair calls a special meeting of tenured faculty for consultation regarding promotions of tenured faculty at associate professor rank. Information in accord with the criteria established by the Department for promotion to professor and the supporting evidence is sent to the faculty at the rank of professor for review prior to the scheduled meeting. The Chair consults with and seeks written support of each tenured faculty individually, when one of their members is considered for promotion. The College's rules govern the promotion of tenured faculty. Faculty may dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures. The Chair gives a letter to the non-tenured faculty member communicating the recommendations of the tenured faculty, before forwarding this recommendation to the Dean.

#### 5. Faculty Performance Evaluations

The Chair and tenured faculty discuss the performance of untenured faculty for the two- and four-year evaluations. The Chair, in conjunction with the opinions voiced by the tenured faculty, will review and summarize the untenured faculty members' performance in a formal evaluation provided to the Dean and to the untenured faculty. College policies require a bi-annual faculty performance review, but the Chair may perform annual reviews.

#### 6. Establishing and Modifying Rules of Procedure

The faculty discuss new and modified Rules of Procedure at a faculty meeting and adopt changes by a vote of the faculty that are in accord with Governing and Administration Regulations of the University. Copies of these Rules are available to the Faculty in the Department Administrator's office and on the Department's web site.

## II. MEETINGS

### A. Regularly Scheduled Faculty Meetings

1. Regular faculty meetings are held once a month during the academic year on dates announced at the start of each semester and on dates selected to permit maximum participation.
2. Attendees at faculty meetings include the Chair, the faculty who hold primary or joint appointments, the Department Administrator, and any invited guests approved by the Chair. Voting by proxy is not allowed. Voting is by voice vote unless a secret ballot is requested by a majority of those present and voting. Faculty with joint appointments do not, however, have voting privileges on appointments, promotions and tenure.

3. Issues may be brought to the attention of the faculty by the Chair or by a faculty member who submits items for the meeting agenda to the Chair, at least two days in advance of the meeting.
4. A quorum is defined as the faculty members in attendance.
5. Actions for which a faculty vote is required are approved by a majority of faculty members present and voting.
6. The Chair or a designee presides over faculty meetings using Roberts Rules of Order for conducting the meeting.
7. Faculty are notified in a timely fashion of the time, agenda, and place of upcoming meetings. The agenda is distributed at least 24 hours before the meeting.
8. Minutes of the faculty meetings are circulated to the faculty and written copies are maintained in the Department for at least ten years. The Department complies with all rules and regulations relating to open meetings, open records, and archival requirements, congruent with University policy.

#### B. Special Faculty Meetings

1. Special faculty meetings are called in three ways: [1] by the Chair; [2] by the Chair's written designee; or [3] by a written call by twenty percent of the voting members submitted to the Chair. The meeting is held within two weeks of the Chair receiving the written request. A quorum is defined as a majority of faculty members in attendance. Actions for which a faculty vote is required are approved by a majority of faculty members present and voting.
2. The items listed in section A.2-8 are followed for special faculty meetings.

### III. COMMITTEES

A. Standing Committees: The Department has a number of standing committees that are charged with specific responsibilities. These committees meet when appropriate to discuss issues related to their charge and to present recommendations to the Chair for consideration by the faculty as a whole. Committee appointments are for one-year, renewable terms. The Chair is an *ex-officio* member of all committees and a member of the Executive Committee. The current standing committees are:

1. Executive Committee. The Committee consists of the Chair and full professors and is charged with the responsibility of advising the Chair on various matters. This Committee meets on an as-needed basis.
2. Curriculum Committee: This Committee consists of four faculty members appointed by the Chair and one graduate student representative chosen by the Biochemistry Students Association. The Director of Graduate Studies serves as an *ex-officio* member. This Committee is responsible for considering all aspects of the teaching program. The Committee, however, does not consider teaching evaluations that are considered by the Chair as a part of overall faculty performance evaluation. The Committee makes recommendations for improvements in course offerings in the Ph.D. program.

3. Promotion and Tenure Committee. The tenured faculty act as a committee of the whole to consider promotion and tenure of assistant professors. The tenured professors act as a committee of the whole to consider promotion and tenure of tenured associate professors. The procedures used to arrive at recommendations for appointments, promotion and tenure are set forth elsewhere in this document.

B. *Ad hoc* Committees: The Department has *ad hoc* committees that are created on occasion and charged with specific tasks. For example, Graduate Program Committees are appointed by the Dean of the Graduate School and oversee the intellectual development and research programs of graduate students. *Ad hoc* committees meet when appropriate to discuss issues related to their charge and typically bring recommendations forward to the Chair. The Chair may or may not bring forward the Committee's advice for consideration by the faculty as a whole. Committee appointments are for the term necessary to accomplish the task. The Chair is an *ex-officio* member of such committees.

#### IV. FACULTY PERSONNEL ACTIONS

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with the Chair and uses the data when making his recommendation to the Provost for the reappointment of the chair.

*Distribution of Effort*: The Chair, in consultation with the Department Administrator and faculty member in question, determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by the faculty member and the Chair.

*Evaluation of Faculty Performance*: Faculty are evaluated on an annual basis by the Chair (see above). Each faculty member submits an updated curriculum vitae to the Chair on an annual basis. Major areas of evaluation include: research, teaching, University and public service, and professional activity and administration.

*Appointments and Reappointments*: See above

*Promotion and Tenure*: See above

#### V. ACADEMIC MATTERS

*Academic Advising*: Open-door advising and scheduled office hours are available for students as noted in the course syllabi.

*Curriculum*: A course director, in conjunction with the Chair oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Course policies are described in the syllabus, which is made available to the students. The faculty and Chair may discuss problems and needed changes in the course policy. The faculty and Chair may discuss the progress of students, needed changes in course content, and the distribution of topics. A consensus on topics covered is generally reached among faculty teaching in a particular course. If there is a lack of agreement among the faculty in a

particular course, the Chair, in consultation with the course director, makes a final decision. The course director, with the help of appropriate tenured faculty, is responsible for attending lectures of junior faculty in order to provide guidance on possible improvements in teaching.

**Class Schedules:** Class schedules are determined by the faculty in consultation with the Dean or a designee.

**Evaluations of Courses:** A course director seeks written evaluations from students. Concerns raised in these reviews are brought to the attention of the faculty, as appropriate.

## VI. BUDGET PREPARATION

The Chair and the Department Administrator develop a budget for the Department, in accord with guidelines provided by the Dean. The Chair defines the allocation of resources, makes decisions on Department expenditures, and oversees management of the Department. The Chair consults with the faculty regarding budget but has the final authority on budget decisions. Budget information is shared with the faculty at faculty meetings.

### Addendum I

## APPOINTMENT AND PROMOTION FROM ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR

As specified in AR II-1.0-1 of the University's Policies and procedures manual and the College of Medicine, faculty members will be evaluated for appointment and promotion from **Assistant Professor to Associate Professor** using three basic criteria. These criteria include:

- (1) instructional activities;**
- (2) research and other creative activities;**
- (3) professional, University, and public service.**

A detailed explanation of these three criteria and examples of other evidence that will be used in guiding evaluations for promotion and tenure in the Department of Molecular and Cellular Biochemistry are as follows:

- 1. instructional activities:** Faculty are required to participate in the teaching missions of the Department. This participation includes teaching Departmental courses, seminar/tutorial programs, and/or courses offered by other departments within The University of Kentucky. Teaching is assessed through a combination of written evaluations by colleagues who participate and/or monitor the course and/or by student evaluations. Faculty are also evaluated in their active role mentoring graduate students, postdoctoral fellows, and where applicable, undergraduate students.

**Evidence of Instructional Excellence.** The following is a representative and non-inclusive list of evidence that will be considered in evaluation of a candidate for promotion and/or tenure.

Courses taught at a rigorous level, with recognized excellence as measured by peer evaluation, student performance evaluation and/or student satisfaction survey.

Direction of graduate research as evaluated by peers and/or letters from current or former graduate students. This may include acting as chair of doctoral research committee(s), participation on doctoral research committees or significant contributions to student mentoring. Evidence may include publication activity, award of predoctoral fellowships or grants and/or placement of former graduate students in appropriate professional positions.

Direction of postdoctoral research as evaluated by peers and/or letters from current or former postdoctoral fellows. Evidence may include publication activity, award of postdoctoral fellowships or grants and/or placement of former postdoctoral students in appropriate professional positions.

Outstanding performance as Departmental Director of Graduate Studies.

Receipt of an outstanding teaching award(s) from the University or professional society

Development of a new course or a new section in an existing course.

Receiving external grant support for teaching and/or learning projects.

Direction of undergraduate research, as evaluated by peers, including published papers and/or abstracts.

Invitation to teach technical workshops at regional, national or international institutions of higher learning or at scientific society meetings.

2. **Research and other creative activities:** Faculty are required to develop an independent and nationally recognized research program.

**Evidence of Research Excellence.** The following is a representative and **non-inclusive** list of evidence that will be considered in evaluation of a candidate for promotion and/or tenure:

Extramural research funding as principal investigator from a major funding agency.

Continuous extramural research funding as principal investigator from a major funding agency.

Renewal of funding from major funding agencies where the faculty member's role is principal investigator.

Award of extramural grants as principal investigator in areas that represent departure from prior research themes.

The number of technicians, postdoctoral fellows, graduate students, and undergraduate students participating in the research program and the career trajectories of these coworkers.

Publication in leading refereed journals and frequent citation of this work by others.

Average at least one manuscript as the corresponding author in a high quality, peer-reviewed journal per year from work emanating from the University of Kentucky.

Receiving a major fellowship or research award.

Significant publication and/or research funding resulting from collaborative efforts with other researchers where the faculty member plays a substantial role in the research.

Publication and/or editing of scholarly book(s) by reputable publisher(s) in the faculty member's area of research.

Participation in the peer review process for major research funding agencies.

Serving as editor or member of the editorial board of a major journal.

Presentation of research at national and international conferences.

Peer acknowledgement through solicited letters from leaders in the faculty member's area of research.

Participation in the peer-review process for leading research journals.

3. **Professional, University and public service:** Faculty are required to provide service to the University, College of Medicine, the Department and the community at large.

**Evidence of Service Excellence.** The following is a representative and *non-inclusive* list of the evidence that will be considered in evaluation of a candidate for promotion and/or tenure:

Service on University committees at all levels.

Serving as an officer in a relevant national or international professional organization.

Serving as an officer in a relevant regional or state professional organization.

Serving on a major governmental commission, task force or board.

Serving an administrative leadership role at the University of Kentucky.

Serving as an officer in the Faculty Senate.

Organizer of state, regional, national, or international conference or symposia.

Participation in community activities relevant to the mission of the University.

#### Addendum II

### **APPOINTMENT AND PROMOTION FROM ASSOCIATE PROFESSOR TO PROFESSOR**

As specified in AR II-1.0-1 of the University's Policies and procedures manual and the College of Medicine, faculty members will be evaluated for appointment and promotion from **Associate Professor to Full Professor** using three basic criteria. These criteria include:

- (1) instructional activities;**
- (2) research and other creative activities;**
- (3) professional, University, and public service.**

A detailed explanation of these three criteria and examples of other evidence that will be used in guiding evaluations for promotion and tenure in the Department of Molecular and Cellular Biochemistry are as follows:

- 1. instructional activities:** Faculty are required to participate in the teaching missions of the Department. This participation includes teaching Departmental courses, seminar/tutorial programs, and/or courses offered by other departments within The University of Kentucky. Teaching is assessed through a combination of written evaluations by colleagues who participate and/or monitor the course and/or by student evaluations. Faculty are also evaluated in their active role mentoring graduate students, postdoctoral fellows, and where applicable, undergraduate students.

**Evidence of Instructional Excellence.** The following is a representative and **non-inclusive** list of evidence that will be considered in evaluation of a candidate for promotion and/or tenure.

Courses taught at a rigorous level, with recognized excellence as measured by peer evaluation, student performance evaluation and/or student satisfaction survey.

Direction of graduate research as evaluated by peers and/or letters from current or former graduate students. This may include acting as chair of doctoral research committee(s), participation on doctoral research committees or significant contributions to student



mentoring. Evidence may include publication activity, award of predoctoral fellowships or grants and/or placement of former graduate students in appropriate professional positions.

Direction of postdoctoral research as evaluated by peers and/or letters from current or former postdoctoral fellows. Evidence may include publication activity, award of postdoctoral fellowships or grants and/or placement of former postdoctoral students in appropriate professional positions.

Outstanding performance as Departmental Director of Graduate Studies.

Receipt of an outstanding teaching award(s) from the University or professional society

Development of a new course or a new section in an existing course.

Receiving external grant support for teaching and/or learning projects.

Direction of undergraduate research, as evaluated by peers, including published papers and/or abstracts.

Invitation to teach technical workshops at regional, national or international institutions of higher learning or at scientific society meetings.

**2. Evidence of Research Excellence.** The following is a representative and **non-inclusive** list of evidence that will be considered in evaluation of a candidate for promotion and/or tenure:

Extramural research funding as principal investigator from a major funding agency.

Continuous extramural research funding as principal investigator from a major funding agency.

Renewal of funding from major funding agencies where the faculty member's role is principal investigator.

Award of extramural grants as principal investigator in areas that represent departure from prior research themes.

The number of technicians, postdoctoral fellows, graduate students, and undergraduate students participating in the research program and the career trajectories of these coworkers.

Publication in leading refereed journals and frequent citation of this work by others.

A sustained record of publication as the corresponding author in high quality, peer-reviewed journals from work emanating from the University of Kentucky.

Receiving a major fellowship or research award.

Significant publication and/or research funding resulting from collaborative efforts with other researchers where the faculty member plays a substantial role in the research.

Publication and/or editing of scholarly book(s) by reputable publisher(s) in the faculty member's area of research.

Participation in the peer review process for major research funding agencies.

Serving as editor or member of the editorial board of a major journal.

Presentation of research at national and international conferences.

Peer acknowledgement through solicited letters from leaders in the faculty member's area of research.

Participation in the peer-review process for leading research journals.

**3. Professional, University and public service:** Faculty are required to provide service to the University, College of Medicine, the Department and the community at large.

**Evidence of Service Excellence.** The following is a representative and *non-inclusive* list of the evidence that will be considered in evaluation of a candidate for promotion and/or tenure:

Service on University committees at all levels.

Serving as an officer in a relevant national or international professional organization.

Serving as an officer in a relevant regional or state professional organization.

Serving on a major governmental commission, task force or board.

Serving an administrative leadership role at the University of Kentucky.

Serving as an officer in the Faculty Senate.

Organizer of state, regional, national, or international conference or symposia.

Participation in community activities relevant to the mission of the University.

**DEPARTMENT OF NEUROLOGY**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. GENERAL RULES – Department Faculty**

Membership - Department Faculty

1. Department Faculty: The faculty of the Department of Neurology consists of full-time and part-time members at the rank of Instructor, Assistant, Associate Professor and Professor.
2. Faculty Meetings Members: Attendance at faculty meetings includes the faculty (Article I Section 1), Neurology Chief Resident, and Department Administrator. The faculty may extend membership to joint appointed faculty though without voting privileges. The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.
3. Meetings: Meetings are generally held weekly (at least once monthly) with an agenda for the meeting distributed 24 hours in advance. Any member may request an item to be placed on the agenda by submitting same to the Chair's office prior to the next scheduled meeting.
4. Quorum/Voting: Action taken at meetings shall require approval by a majority vote of faculty members present and voting. Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his part-time appointment. Voting by proxy shall not be allowed at meetings, and voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.
5. Minutes: Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the Department. Minutes shall be approved at the next scheduled meeting.
6. Rules of Order: Robert's Rules of Order shall apply.
7. Conformity to Open Meeting: The Department of Neurology complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

**II. GENERAL RULES – Department of Neurology Medical Practice Plan**

Membership - Department of Neurology Plan

1. The governing body of the Department of Neurology Plan is the Chairperson and the faculty in the Department who are members of the Medical Practice Plan. The Plan governs the distribution and use of all clinical income attributable to the professional activities of such faculty within the Plan.
2. The Chairperson of the Department of Neurology shall serve as Chairperson of the Governing Body. In the absence of the Chair, the designee shall serve as Chair.

3. Meetings: The faculty who are members of the Plan shall meet at least quarterly. Written notice of the time and place of each meeting is provided at least 24 hours in advance.
4. Quorum/Voting: Action taken at meetings shall require approval by a majority vote of members present and voting, with the exception that actions with respect to modification(s) of the Plan shall require approval by a two-thirds (2/3) majority of all eligible members. Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his part-time appointment. Voting by proxy shall not be allowed at meetings, and voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.
5. Minutes: Minutes will be circulated to all members of the faculty and approved at the next scheduled faculty meeting.
6. Rules of Order: Robert's Rules of Order shall apply.

### **III. EDUCATIONAL POLICIES**

The Department of Neurology faculty has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules.

#### *Medical Student Education*

1. Courses: The Department offers two types of courses to medical students:
  - a. Elective courses: Elective courses are offered by individual faculty members. Students may enroll in these courses on a strictly elective basis. Faculty members can offer an elective course after it has been approved by the University Senate.
  - b. Required courses: Required courses are offered to preclinical and clinical medical students.
2. Course Director: Each course will be under a Course Director. The Course Director shall be appointed by the Department Chair after consultation with the Department faculty. Course Directors serve for one year and may be re-appointed annually.
  - a. The Course Director initiates the outline of the course; plans the division of instruction after consultation with the prospective instructors; and outlines the rules or procedures and methods of grading.
  - b. The Director presents the outline to the faculty at a Faculty Meeting where a vote of two-thirds of those present is necessary for approval. After approval, the course is coordinated by the Director with participation of other selected faculty.
  - c. The Course Director and/or participating faculty will administer examinations and, with consultation with participating faculty, will determine the grade for the course.

3. **Student Participation:** The Course Director shall meet with representatives of the class being taught at the request of their representatives, or as needed for the course. Student evaluations and feedback, after collected and collated by the Office of Student Affairs shall be received; promulgated and taken into account in the planning and execution of the present and subsequent courses.

#### *Resident/Fellows Education*

Resident house officers selected through the Neurology and National Matches shall receive their education in accord with the dictates of the ACGME Neurology Residency Review Committee, in such a manner that they will be eligible to sit for the examinations of the American Board of Psychiatry and Neurology upon successful completion of their residency.

1. The Neurology Residency Program Director shall be appointed by the Chairman in conference with the faculty.
2. The Neurology Residency Program Director shall appoint the Chief Resident(s) on an annual basis and shall consult regularly with the Resident(s) on scheduling and related educational matters.
3. The Residency Training Program Director meets periodically with the faculty to discuss residency training, evaluations of residents, and residency recruitment.
4. The evaluation of the residents is based on written assessments performed on a monthly basis as well as on their performance on in-service examinations modeled on the American Board of Psychiatry and Neurology examination.
5. From time to time, physicians who have completed a neurology residency, and who seek special training in a focused aspect of neurology (e.g., clinical neurophysiology) shall be appointed by the faculty, as fellows, from a group of applicants who respond to advertisements for the fellowship position.

The details of a specific fellowship experience shall be set forth by the faculty member responsible for providing that experience, and shall be reviewed with the Chair on a regular basis.

#### *Graduate Education*

1. **Elective Graduate Courses:** The Department offers one elective graduate course to students (NEU 605). Elective courses are offered by individual faculty. Students may enroll in the course on a strictly elective basis. Faculty members may offer an elective course after it has been approved by the University Senate.
2. **Course Director:** Each course will be under a Course Director. The Course Director shall be the faculty member responsible for the course or may be appointed by the Department Chair after consultation with the Department faculty. Course Directors serve for one year and may be re-appointed annually.
  - a. The Course Director initiates the outline of the course; plans the division of instruction after consultation with the prospective instructors; and outlines the rules or procedures and methods of grading.
  - b. The Director presents the outline to the Faculty at a Faculty Meeting where a vote of two-thirds of those present is necessary for approval. After approval, the

course is coordinated by the Director with participation of other selected faculty.

- c. The Course Director and/or participating faculty will administer examinations and, with consultation with participating faculty, will determine the grade for the course.

### *Research Programs*

1. The department has instituted a research development initiative whose two-fold purpose is to:
  - a. Facilitate research starts within the department with strong but not exclusive emphasis on younger faculty and residents.
    - i. Junior faculty and residents are encouraged to select a mentor within or outside the department to assist them in research pursuits;
    - ii. Junior faculty and residents are encouraged to present at national and international meetings; and
  - b. Encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs.

### *Service Functions*

Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. {The department emphasized that it's commitment to the service of its patients must be paramount}.

## **IV. FACULTY PERSONNEL PROCESS**

The membership of the departmental faculty consists of the chair, full- and part-time faculty. All tenured and tenured track faculties possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. (Tables attached)

### *New Faculty Appointments*

After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

### *Reappointments, Terminal Reappointment, Non-reappointment*

1. **Faculty Participation:** All tenured faculty members in the Department shall participate in the review process for re-appointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.
2. **Tenured Faculty Meeting:** The Department Chair shall call a special faculty meeting of all tenured faculty members for consultation regarding faculty promotions and review of tenure progress of other faculty members. A full and open discussion shall be held on the merits of any of the above during a regularly or specially called faculty meeting. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty members as appropriate. The Chair will make a decision after a majority vote of the faculty.
3. **Reviewed Faculty Participation:** All faculty members shall be responsible for updating their vitas on an annual basis, in accord with the promulgated College of Medicine format. Non-tenured faculty members are encouraged to submit additional data to the tenured faculty at the time of annual reviews. All faculty members have the privilege of dissent from the judgment of their peers on this or any other matter, in accord with promulgated University rules and procedures.

*Post-Retirement Appointments -- Same as Reappointment above*

### *Promotions and Granting of Tenure*

1. **Faculty Participation:** The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.  
  
All tenured faculty members in the Department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a Multidisciplinary Research Center shall also participate for those faculty members with such appointments. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.
  - a. Written letters of support are provided by the Department tenured faculty through the Department Chair to the College of Medicine's Rank and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.
  - b. The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.
2. **Tenured Faculty Meeting:** The Department Chair shall call a special meeting of all tenured faculty members for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and

copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

3. **Faculty Participation:** Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.
  - a. Such faculty members shall be required to submit an updated curriculum vitae to the Chair one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures.
  - b. The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.
4. **Tenure:** The granting of tenure will follow the same guidelines as outlined for promotion.

#### *Standard Personnel File*

The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

#### *Policy and procedure for periodic review of department Chairs*

Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

#### *Performance Evaluations*

Faculty members are evaluated on an annual basis by the Department Chair. The Director of a Multidisciplinary Research Center shall participate for those faculty members with such appointments. Each faculty member submits an updated CV to the Department Chair on an annual basis.

Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) University and public service, 5) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

The Chair will discuss junior faculty performance with senior faculty for the two and four year evaluation reviews. All specific input from senior faculty will remain confidential. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty members.



### *Distribution of Effort Assignments*

The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

### *Department Faculty Committees*

Departmental Faculty Committees shall be established by the Chair in consultation with Department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees.

## **V. ACADEMIC MATTERS**

The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding policies to serve public service functions.

### *Academic Advising:*

The Director of the residency program and the chairman will advise residents on all matters related to their education and training. Other faculty may also advise when deemed appropriate.

Faculty members will serve as advisors for medical students upon request by the office of the Associate Dean for Academic Affairs. The advisors will be available to their students for discussion of career choice, course selection, or other academic matters.

### *Curriculum*

The Course Director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Specific policies are stipulated in the course syllabus which is distributed to the students each year. The faculty discusses problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among the entire teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

### *Class Schedules*

The clerkship experiences are outlined in the syllabus. Basically education occurs in the following ways:

- a. Primary clinical sites and adjunct clinical sites
- b. Didactics
- c. Community experiences

### *Evaluations of Courses*

The Course Director meets regularly with a student Liaison Committee in which course policy, examination policies, etc., is discussed. Concerns of the students are

brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

## **VI. DEPARTMENTAL BUDGETS**

A budget for the Department shall be prepared and established in accordance with the Department's Plan, which defines the allocation of resources, limits on expenditures and management of the Department Budget.

1. The Department budget shall be prepared by the Department Chair, in consultation with the faculty who members of the Plan (as defined in Article I, Section 2).
2. Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.
3. Interim modifications in established Department budgets shall be made in accordance with the Department's Plan.

## **VII. RULES, REGULATIONS AND PROCEDURES**

### *Establishment or Modification of Department Rules*

Establishment or modification of rules shall require a two-thirds majority vote of the full-time faculty.

### *Governing and Administration Regulations*

Rules of Procedure for Department faculty are superseded by governing and administrative regulations of the institution.

### *Location*

All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all Department faculty and staff.

**DEPARTMENT OF NEUROSURGERY**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. GENERAL RULES – Department Faculty**

Membership - Department Faculty

1. Department Faculty: The faculty of the Department of Neurosurgery consists of full-time and part-time members at the rank of Instructor, Assistant, Associate Professor and Professor.
2. Faculty Meetings Members: Attendance at faculty meetings includes the faculty (Article I Section 1) and Department Administrator. The faculty may extend membership to joint appointed faculty though without voting privileges. The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.
3. Meetings: Meetings are generally held monthly (at least once every three months) with an agenda for the meeting distributed 24 hours in advance. Any member may request an item to be placed on the agenda by submitting same to the Chair's office prior to the next scheduled meeting. Special meetings may be called by the Department Chairperson or designee or upon call by 1/3 of the voting members, with written notice of the time and place of each meeting being sent to each member at his/her designated office prior to the meeting date.
4. Quorum/Voting: Action taken at meetings shall require approval by a majority vote of faculty members present and voting. Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his/her part-time appointment provided that they have been members of the Department for 12 months. Voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting. Voting by proxy shall not be allowed at meetings, however, votes of members who are eligible to vote but are absent from a meeting shall be counted in votes taken upon questions which have been presented in written form sent to each member at his/her designated office at least 3 official working days prior to the date of the meeting, and further provided that the vote of the absent member(s) is presented in writing and signed by the member.
5. Minutes: Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the Department. Minutes shall be approved at the next scheduled meeting.
6. Rules of Order: Robert's Rules of Order shall apply.
7. Conformity to Open Meeting: The Department of Neurosurgery complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

## **II. GENERAL RULES – Department of Neurosurgery Medical Practice Plan**

### **Membership - Department of Neurosurgery Plan**

1. The governing body of the Department of Neurosurgery Plan is the Chairperson and the faculty in the Department who are members of the Medical Practice Plan. The Plan governs the distribution and use of all clinical income attributable to the professional activities of such faculty within the Plan.
2. The Chairperson of the Department of Neurosurgery shall serve as Chairperson of the Governing Body. In the absence of the Chair, the designee shall serve as Chair.
3. Meetings: The faculty who are members of the Plan shall meet at least quarterly. Written notice of the time and place of each meeting is provided at least 24 hours in advance.
4. Quorum/Voting: Action taken at meetings shall require approval by a majority vote of members present and voting, with the exception that actions with respect to modification(s) of the Plan shall require approval by a two-thirds (2/3) majority of all eligible members. Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his/her part-time appointment provided that they have been members of the Department for 12 months. Voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting. Voting by proxy shall not be allowed at meetings, however, votes of members who are eligible to vote but are absent from a meeting shall be counted in votes taken upon questions which have been presented in written form sent to each member at his/her designated office at least 3 official working days prior to the date of the meeting, and further provided that the vote of the absent member(s) is presented in writing and signed by the member.
5. Minutes: Minutes will be circulated to all members of the faculty and approved at the next scheduled faculty meeting.
6. Rules of Order: Robert's Rules of Order shall apply.

## **III. EDUCATIONAL POLICIES**

The Department of Neurosurgery faculty has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules.

### *Medical Student Education*

The Department offers core and elective courses to medical students. Any faculty member may propose an elective course.

Each course will be under the supervision of a Course Director who will be appointed by the Department Chairperson. The Course Director initiates the outline of the course, plans the division of instruction and, after consultation with the Department of Neurosurgery Education Committee, outlines the rules, procedures and the method of grading.

After the elements of course structure and administration have been approved by the Chairperson of the Department and the College of Medicine Curriculum Committee, they will be stated in a syllabus and the course will be included in the Catalog.

The Director, with the participation of the Neurosurgery faculty, will supervise the course. The Course Director determines the grade following the grading policy described in the course syllabus and signs the grade sheet. The Course Director receives feedback through the Student Evaluation Process.

### *Postgraduate Medical Education*

The Department offers two types of postgraduate medical training programs, those approved by the American Council on Graduate Medical Education (ACGME), and those approved internally by the College of Medicine's Housestaff Graduate Medical Education (HSGME) committee.

Each program will be under the supervision of a Program Director who will be appointed by the Department Chairperson from among the faculty. The Program Director develops and reviews the program's educational goals and curriculum, plans the distribution of instruction among the faculty, and ensures compliance of the program with all ACGME and HSGME guidelines. The Program Director receives feedback through the Resident Evaluation Process.

The decisions regarding admission of candidates into the ACGME-accredited residency programs are made by the individual Program Director in consultation with the faculty. The selection process for preliminary and categorical residents utilizes the National Residency Matching Program (NRMP) and the San Francisco Matching Program (SF Match) with rare exception. Prospective candidates may contact either the Program Director or the Neurosurgery Education Office to obtain information regarding the application process. This information is also available on the web site for each specialty training program.

A personal interview with the applicant is a prerequisite for admission. Interviews are offered by the Program Director after review of the candidate's application materials by the faculty. The criteria used in prioritizing candidates for the NRMP are determined by the Program Director in consultation with Departmental faculty. After receiving the NRMP and SF Match results, the Program Director notifies the College of Medicine's Graduate Medical Education Office of the candidates matched.

The department follows the administrative regulations, AR 5:2, regarding education policies concerning teaching and research assistants.

### *Research Programs*

1. The department has instituted a research development initiative whose two-fold purpose is to:
  - a. Facilitate research starts within the department with strong but not exclusive emphasis on younger faculty and residents.
    - i. Junior faculty and residents are encouraged to select a mentor within or outside the department to assist them in research pursuits;
    - ii. Junior faculty and residents are encouraged to present at national and international meetings; and

- b. Encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs.

#### *Service Functions*

Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. {The department emphasized that it's commitment to the service of its patients must be paramount}.

### **IV. FACULTY PERSONNEL PROCESS**

#### *New Faculty Appointments*

The Department Chairperson is responsible for recommendations regarding the appointment of new faculty members. Written letters of support are solicited from the tenured faculty. The Director of a concerned Multidisciplinary Center shall be consulted if the faculty member shall have an initial appointment in that center. The written judgment of each consulted member of the Department, each director of pertinent multidisciplinary research centers and institutes, and the recommendation of the Chairperson will be included in all appointment dossiers.

#### *Reappointments and Decisions to Not Reappoint*

The Department Chairperson is responsible for recommendations on the reappointment or non-reappointment of faculty members of the Department. The Director of a Multidisciplinary Center shall be consulted if the faculty member shall have an appointment in that center.

#### *Terminating Faculty*

The Department Chairperson is responsible for making recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultation with all tenured members of the Department and with all full-time non-tenured members of the Department who are in a tenure track with the actual or equivalent rank of assistant professor or higher who have been members of the Department for two or more years. Faculty members with appointments in the clinical or research title series, however, shall be consulted on a departmental basis about termination of individuals of academic ranks equal to or below their own rank in their respective title series.

#### *Post-Retirement Appointments*

The Department Chairperson is responsible for recommendations on post-retirement appointments. The Director of Multidisciplinary Center shall be consulted if the faculty member shall have a post-retirement appointment in that center.

#### *Promotion and the Granting of Tenure*

The Chairperson of Neurosurgery appoints a Promotion and Tenure Committee each year. The purpose of the Committee is to review the Curriculum Vitae, Teaching

Portfolio, and other pertinent information of faculty members being proposed for promotion and those who are up for a two or four year review of progress towards promotion and tenure. The Committee advises the Department Chairperson as to the progress of the individuals up for two and four year reviews and makes recommendations on whether to support faculty for promotion. Once the Department's Promotion and Tenure Committee meets and submits their recommendations, a Department of Neurosurgery Tenured Faculty meeting is held.

At that meeting, the Tenured Faculty are asked to review the same submitted information of those up for promotion and two or four year review. They too are asked to comment on whether the individuals are making good progress toward promotion and whether they are to be supported by the Department for promotion. The tenured faculty members also make recommendations for the junior faculty regarding what they may need to do to enhance their chances of being promoted and/or receiving tenure. The Department Chairperson uses the recommendations of the Department's Promotion and Tenure Committee and the Tenured Faculty when meeting with the reviewed individuals.

Faculty members with appointments in the clinical or research title series, however, shall be consulted on a departmental basis as appropriate about promotion of individuals to academic ranks equal to, or below, their own in their respective title series, but will not be consulted on matters relating to promotion or tenure of faculty in the regular or special title series.

The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures. These are in line with the university administrative and governing regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. The attached Tables A-H outlines these guidelines for promotion by faculty designation.

### *Performance Evaluations*

According to the University Regulations, the performance of all tenured faculty members will be reviewed the first year of the biennium, while the second year of the biennium is at the discretion of the chair. During the second year of the biennium, any tenured faculty member, upon request, must be granted an annual review. The performance of non-tenured faculty (full and part-time) will be reviewed annually. The review period is from January 1st through December 31 and is due in the Dean's Office with an updated CV the first week of February. Each faculty member shall submit an updated CV to the Department Chairperson on an annual basis. Major areas of evaluation include: 1) research and publication, 2) teaching, 3) clinical service, 4) University and public service, and 5) professional activity and administration. If the faculty member disagrees with the review, the faculty member may appeal their review in writing to the Department Chairperson. The Department Chairperson reviews the faculty member's performance evaluation, discusses the appeal with the faculty member, and renders a judgment. If a faculty member still disagrees with the evaluation, they may appeal their evaluation in writing to the Dean.

The Chairperson determines, in consultation with the faculty member, the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chairperson.

#### *Standard Personnel File*

The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

#### *Policy and procedure for periodic review of department Chairs*

Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

#### *Distribution of Effort Assignments*

The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

#### *Department Faculty Committees*

Departmental Faculty Committees shall be established by the Chair in consultation with Department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees.

### **V. ACADEMIC MATTERS**

The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding polices to serve public service functions.

#### *Academic Advising:*

The Director of the residency program and the chairman will advise residents on all matters related to their education and training. Other faculty may also advise when deemed appropriate.

Faculty members will serve as advisors for medical students upon request by the office of the Associate Dean for Academic Affairs. The advisors will be available to their students for discussion of career choice, course selection, or other academic matters.

### **VI. DEPARTMENTAL BUDGETS**

A budget proposal for the Department shall be prepared and established in accordance with the Department's Practice Plan and University policy. It shall be submitted in a form consistent with such format and specificity as established by the University.



The Department's administrative offices prepare projections of revenue and expense for the Department budget based on current fiscal year-to-date performance and expected changes. Along with the draft budget, the Department prepares individual analyses of faculty compensation. The Chairperson along with the Department Administrator, resolve issues to establish a budget proposal.

The budget proposal is then submitted to the Dean. After the budget is approved, letters and contracts are sent to individual faculty members stating his/her proposed salary for the next year. Faculty members may appeal their proposed compensation as described in the Department of Neurosurgery Practice Plan.

## **VII. RULES, REGULATIONS AND PROCEDURES**

### *Establishment or Modification of Department Rules*

Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution. Departmental rules are established by the Chairperson after consultation with input from the faculty. The Department of Neurosurgery faculty has jurisdiction over matters concerning its internal educational policies, insofar as these do not conflict with those of other departments or with the rules of the University Senate or the faculty of the College of Medicine. Changes or amendments should be executed in accordance with the procedures described in Section III (8) Voting Policy. Changes of the internal educational policies can be made by a majority vote of the faculty present at a meeting called to address proposed changes.

### *Governing and Administration Regulations*

Rules of Procedure for Department faculty are superseded by governing and administrative regulations of the institution.

### *Location*

All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all Department faculty and staff.

**DEPARTMENT OF OBSTETRICS AND GYNECOLOGY**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. BASIC PROCEDURES:**

*Membership*

1. The faculty of the Department of OB/GYN consists of full-time, part-time, voluntary, joint appointee, professors, associate professors, assistant professors and instructors.
2. Faculty Meeting: Members of the Faculty Meeting include the Chairman, and full-time and part-time faculty.
  - a. Voting members include those defined in #2.

*Faculty Involvement in Educational Policy Making:*

1. Academic Requirements -- The department faculty has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding policies to serve public service functions.
2. Courses of Study -- See Academic Requirements above
3. Class Schedule -- See Academic Requirements above
4. Graduate Programs -- The Residency Training Program Committee meets periodically with the faculty to discuss residency training, evaluations of residents, and residency recruitment and selection.
5. Research Programs -- The department has instituted a research development initiative whose two-fold purpose is to: 1) facilitate research starts within the department with strong but not exclusive emphasis on younger faculty and residents; and 2) encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs.
6. Service Functions -- Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. The department emphasized that its commitment to the service of its patients must be paramount.

**II. CLINICAL DEPARTMENT**

*Faculty Involvement in Developing Procedures for the Following Areas:*

The membership of the departmental faculty consist of the chair, full- and part-time faculty. Tenured and tenured track faculty possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment,

promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. (Tables attached)

1. Appointing Faculty Members -- The department chair shall consult all department faculty for input before new faculty appointments are made. Written letters of support are provided by department tenured faculty.
2. Reappointments -- All tenured faculty in the department shall participate in the review process for reappointments of non-tenured faculty. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.
3. Terminating Faculty -- The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department and with all full-time, non-tenured members of the department (except those appointed in the research title or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years.
4. Decisions to not Reappoint -- Same as Reappointment above
5. Post-Retirement Appointments -- Same as Reappointment above
6. Granting Tenure -- All tenured faculty in the department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.

Written letters of support are provided by the department tenured faculty through the Department Chair to the College of Medicine's Rank and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

Tenured Faculty Meeting: The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

Faculty Participation: Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vitae to the Chair one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers on those and other matters, in accordance with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. Faculty Performance Evaluations -- The Chair will discuss junior faculty performance with senior faculty for the two-year and four-year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before the senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty.

8. Preparation of Budget Requests -- The Department Chair is responsible for budget preparation in accordance with the department's practice plan and the process developed by the College, Medical Center and the University.

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

*Establishing Rules* --The Chair of the department establishes and modifies rules of procedures after consultation with the department faculty in accordance with University and Administrative Regulations.

*Governing and Administration Regulations:* Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

*Modifying Rules* -- See above

*Copies of Rules to All Faculty* -- All Regulations and Rules of Procedure manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff.

### III. MEETINGS:

*Regularly Scheduled* -- The faculty shall convene at least once a month. Any member may request an item to be placed on the agenda by submitting same to the Chair's office prior to the next scheduled meeting. Faculty Meetings Members: Attendance at faculty meetings include the faculty, and Department Administrator. The faculty may extend membership to joint appointed faculty with the exclusion of voting privileges.

*Number Needed to Request a Special Meeting* -- Special meetings may be called by the Department Chair or designee or upon call by three (3) voting members or twenty percent (20%) of the voting members, whichever is larger. The Chair shall call the meeting within two weeks.

*Quorum Necessary for Transaction of Business* -- Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

*Presided over by Chair or Delegate* -- The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

*Minutes Available to Faculty* -- Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the department. Minutes shall be approved at the next scheduled meeting.

*Notification of Meetings* -- Contact is made by phone and written confirmation of the meeting place and time. The Chair establishes the agenda and distributes it to the membership at least 24 hours before the meeting.

*Voting Policy* -- Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his part-time appointment. Voting by proxy shall not be allowed at meetings, and voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.

*Conformity to Open Meeting Act* -- The College of Medicine complies with all rules and regulations related to open meetings, open records, and archival requirements, according to University policy.

#### IV. COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees. The department has two standing committees:

##### Patient Care Committee

**Purpose:** The Committee shall have the charge of reviewing of issues and making recommendations involving patient care issues related to the department's inpatient, outpatient and ancillary services.

**Selection & Composition:** The Committee shall be appointed by the department Chair. The Committee shall include members of the Clinical Faculty and Residents. Others may be invited to attend the Committee based on the patient care issues under the charge of the committee.

**Length of Service of Members:** The Committee Chair shall be appointed by the Department Chair after consultation with the department faculty. The Committee Chair shall serve for one year and may be reappointed annually. Department committee members serve for one year and may be reappointed annually.

**Chair Ex Officio Members:** The meetings will be chaired by the Department Chair or a member appointed by the Chair.

**Frequency of Meetings:** The Committee Chair shall convene the Committee once a month. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

**Minutes:** Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled faculty meetings.

**Rules of Order:** Robert's Rules of Order shall apply.

## Executive Committee

Purpose: To manage Departmental Operations and Finances.

Selection & Composition: The Committee shall be composed of the Department Chair who shall serve as Chair of the Committee, Division Directors within the Department and a faculty member, who is not a Division Director who is elected by the faculty.

Length of Service of Members: Division Directors serve during their appointment as Director.

Chair Ex-Officio Members: The meeting will be chaired by the Department Chair or a member appointed by the Chair.

Frequency of Meetings: The Committee Chair shall convene the Committee once a month. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

Minutes: Copies of minutes shall be made available to all Committee members. Minutes shall be approved at the next scheduled meeting.

Rules of Order: Robert's Rules of Order shall apply.

## Residency Program

### *Admission*

1. Admission to the residency program is discussed by the faculty of the Department of OB/GYN.
2. The Director of the residency program is appointed by the Chairman of the Department of OB/GYN.
3. Prospective resident candidates apply by requesting an application.
4. Upon request, the resident applicant program secretary sends an application packet, which includes: application, University of Kentucky Housestaff brochure, other brochures and information geared specifically to OB/GYN. A letter is sent informing the applicant of everything necessary to complete his file in order for it to be reviewed for consideration to invite the applicant for an interview.
5. Required information is collected by the secretary of the applicant program and when files are complete, they are presented to the residency director and/or Chairman for review and rating.
6. Once all the files have been reviewed, a rating sheet is typed listing all applicant ratings from highest to lowest.
7. Letters are sent to those applicants being invited to interview for a resident position. They are requested to call the resident applicant program secretary to arrange an interview.
8. Letters of explanation are sent to those applicants who are not granted an interview.
9. Interviews are scheduled once a week during late November, December, and January.
10. Applicants interview with faculty members, residents, and the Chairman (or his designee) in the Department of OB/GYN, and each interviewer rates the candidate.

11. Upon completion of all interviews, a rating sheet is prepared by the resident applicant program secretary and submitted to the Program Director.
12. Decision about admission of an applicant can be indicated by a special meeting called by the Chairman.
13. A voting quorum of the faculty exist when 50% (percent) of the membership is present. A simple majority vote is decisive.
14. The ratings are submitted to the OB/GYN Matching Program.

#### Requirements for Completion of Residency

1. Upon admission to the program, the resident will be clearly advised about the rotations he/she must complete.
2. The Department of OB/GYN Residency Program consists of one year of internship and three years (36 months) of OB/GYN Residency.
3. Each resident is evaluated at the end of each rotation by the attending physician the resident has been assigned to.

#### V. FACULTY PERSONNEL ACTIONS:

*Distribution of Effort* -- Distribution of Effort Assignments: The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

*Evaluation of Faculty Performance* -- Performance Evaluations: Faculty are evaluated on an annual basis by the Division Director and Department Chair. Each faculty member submits an updated CV to the Department Chair on an annual basis. Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) University and public service, 5) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

*Appointments/Reappointments* -- After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

*Reappointment/Terminal Reappointment/Non-reappointment* - Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty as appropriate. The Chair will make a decision after a majority vote of the faculty.

*Promotion* -- The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

*Tenure* -- Same as for promotion

## VI. ACADEMIC MATTERS:

*Academic Advising* --Open Door Advising and Scheduled Appointment Times Available

*Curriculum* -- The Course Director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Specific policies are stipulated in the course syllabus which is distributed to the students each year. The faculty discuss problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures/conferences of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

*Class Schedules* -- The clerkship experiences are outlined in the syllabus. Basically education occurs in the following ways:

- a. Primary clinical sites and adjunct clinical sites
- b. Didactics
- c. Community experiences

*Evaluations of Courses* -- The Course Director meets regularly with a student Liaison Committee in which course policy, examination policies, etc., are discussed. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

## VII. BUDGET PREPARATION:

A budget for the department shall be prepared and established in accordance with the Department's Medical Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Chair, in consultation with the "Committee of the Whole" and upon completion will be presented to the Committee by the Chair.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan.

## VIII. STUDENT PARTICIPATION:

*Number of Students Involved* -- One or two medical students are chosen to advise faculty on the effectiveness of rotations and didactic presentations.

*Method of Selection for Committees* -- No student committees are appropriate since accredited courses are for residents only.



#### IX. CHANGES AND AMENDMENTS:

These Rules of Procedure of the Department of OB/GYN are subject to changes or amendments according to the wish of the faculty. Changes or amendments should be executed in accordance with the procedures described in Section I.

**DEPARTMENT OF OPHTHALMOLOGY & VISUAL SCIENCES**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**BASIC PROCEDURES**

**Membership**

1. The faculty of the Department of Ophthalmology & Visual Sciences consists of the full-time, part-time, voluntary, joint appointee, professors, associate professors, assistant professors, and instructors.
2. Faculty Meeting -- Members of the Faculty Meeting include the Chair and faculty (as defined in 1).
  - a. Voting members include those defined in 2 except voluntary faculty.

**Faculty Involvement in Educational Policy Making:**

1. Academic Requirements -- The department faculty with input from residents and others has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules.
2. Courses of Study -- See Academic Requirements above
3. Class Schedule -- See Academic Requirements above
4. Graduate Programs -- Not applicable to the Department of Ophthalmology & Visual Sciences
5. Residency Program -- The Director of the Residency Training Program meets periodically with the faculty to discuss residency education and training, evaluations of residents, and residency recruitment and selection.
6. Research Programs -- The department has instituted a research development initiative program to facilitate research starts within the department with strong but not exclusive emphasis on junior faculty and residents and to encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs.
7. Service Functions -- Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, administration and patient care.

**Faculty Involvement in Developing Procedures for the Following Areas:**

1. Appointing Faculty Members -- The department chair shall consult all full-time department faculty for input before new faculty appointments are made. Written letters of support are provided by department tenured faculty and may be requested from other faculty.
2. Reappointments -- All tenured faculty in the department shall participate in the review process for reappointments of non-tenured faculty. Non-tenured faculty will also be consulted. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.

3. Terminating Faculty Appointment -- The Department Chair is responsible for recommendations to the Dean on terminating faculty appointments. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department as well as full-time non-tenured members of the department with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years.
4. Decisions to not Reappoint -- Same as Reappointment above.
5. Post - Retirement Appointments -- Same as Reappointment above
6. Granting Tenure -- All tenured faculty in the department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion. Non-tenured faculty will also be consulted. University rules govern the promotion of tenured faculty.

Written letters of support are provided by the department faculty through the Department Chair to the College of Medicine's Rank and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

Faculty Participation -- Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vitae to the Chair one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgement of their peers on those and other matters, in accord with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. Faculty Performance Evaluations -- The Chair will discuss junior faculty performance with senior faculty for the two and four year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before the senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty.

8. Preparation of Budget Requests -- The Chair of the department is responsible for budget preparation in accordance with department's practice plan and the process developed by the department, college, Medical Center and the University.
9. Establishing Rules -- Policies and procedures will be established by Departmental rules. The Chairman or delegate with input and approval of the voting members of the faculty in accordance with University policy.
10. Governing and Administrative Regulations -- Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

Modifying Rules -- See number 9 above

Copies of Rules to All Faculty-- All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff. Copies are available for all faculty.

### **MEETINGS**

1. The Faculty Meeting convenes in regular monthly and/or special meetings.
2. During the calendar year (January 1 - December 31), there shall be a regularly scheduled faculty meeting every month.
3. Any voting member can request the Chair to call a special meeting by submitting such request in writing briefly describing the issue which the member wishes to place on the agenda. The Chair shall call the meeting within 2-5 days.
4. The meetings will be presided over by the Chairman of the Department or a delegate appointed by him. The Chair establishes the agenda and distributes it to the membership at least 24 hours before the meeting. The meetings are held to discuss all aspects of Ophthalmology & Visual Sciences including, but not limited to, the clinic, department practice plan, education, research, public relations, administration, personnel, quality assurance and patient care.
5. Any member can request an item to be placed on the agenda by submitting and describing in writing to the Chair's office in time so that it can be distributed among the membership.
6. The discussions of the Faculty Meetings shall be free and uninhibited with ample opportunity provided to express individual views. Confidential information shall remain within the members.
7. Quorum: A Quorum exists at each meeting if one-half of the full-time faculty, including the Chair, of the Department is present regardless of the number of other membership.
8. Voting: On routine issues an absolute majority vote is decisive. Issues involving fundamental changes in the educational or other major policies of the Department can be decided only by a two-third majority vote of the tenured faculty. Each member holding full-time faculty appointments shall have one vote.
9. The practice plan committee is made up of all full-time clinical faculty. All meetings and discussions regarding the plan shall be in accordance with the written policies of the plan.
10. Minutes -- The minutes of each meeting will be kept in the form of a statement which summarizes the discussion prompted by each agenda item. They will be circulated to all members of the Faculty prior to the following regularly scheduled meeting.
11. Conformity to Open Meeting Act -- The department complies with all rules and regulations relating to open meetings, open records, and archival requirements according to university policy.

## **ACADEMIC MATTERS**

### **Courses**

1. The Department offers three types of courses (a) core, (b) service, (c) elective.
2. Core courses are those required either in a professional or a residency curriculum within the Department of Ophthalmology & Visual Sciences.
3. Service courses are offered by the Department to fulfill primarily the need of students outside the Department; however residents in Ophthalmology & Visual Sciences may take service courses if desired.
4. Any faculty member can offer an elective course after it has been approved by appropriate University regulations. The course director is obligated to report to the Department Chair in due time in which semester the course will be offered so that it can be included in the catalogue.
5. Core Courses -- Students will be provided with a list of core courses in which they have to enroll.

### **Course Director**

1. Each core and service course will be under a Course Director.
2. The Course Director shall be appointed by the Department Chair after consultation with the faculty. As a rule the Course Director serves two years in such capacity. However, at the end of the one year, the director can be relieved. The Course Director can serve longer than two years with Chair and faculty approval.
3. The Course Director initiates the outline of the course, plans the division of instruction, and after consultation with the prospective instructors, outlines the rules of procedures and the method of grading. The outline will be presented to the Faculty Meeting where a vote of those present, including the Chair, is necessary for approval. After the Course Director's proposal is approved, the course will be run by the Director with the participation of those asked to help.
4. The Course Director determines the grade and signs the grade sheet. In determining the grade, the Course Director has to consult with the instructors who participated in the teaching and examinations. The Course Director has a limited freedom in grades, (in particular to assign an "I" and allow the student to repeat the course or the examination), provided that the decision is within the general policy of the course and the participating faculty has been notified of the impending decision.
5. In the case of co-listed course, the Course Director is responsible to the Directors of Residency Study of each co-listing program. It is the duty of the Directors of Residency Studies to communicate with their respective faculty before approving the Course Director's outline.

## **COMMITTEES**

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all department committees.

### **Patient Care Committee**

**Purpose --** The Committee shall review issues and make recommendations involving patient care issues related to the department's inpatient, outpatient, and ancillary services.

**Selection & Composition --** The Committee shall be composed of a Chair appointed by the department Chair. Committee members shall include the Supervisors of scheduling and registration, Technical support, secretarial, surgery scheduling and medical records as well as the Chief Resident, Clinic Manager, and Administration. Others may be invited to be members of the Committee based on the patient care issues under the charge of the Committee.

The Chair is appointed for one year and may be renewed each year at the Chairman's discretion.

**Frequency of Meetings --** The Committee Chair shall convene the Committee once a month. Committee members shall receive written notice of Committee meetings one week before the scheduled meetings.

**Minutes --** Copies of minutes shall be made available to all committee members after review by department chair. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled faculty meetings.

### **Quality Assurance Committee**

**Purpose --** The Committee shall review quality assurance issues involving all patient care services within the department.

**Selection & Committee Composition --** The Committee chair is appointed by the department chair. The Committee shall be composed of the QA Chair, Chief Resident, Clinic Manager, resident, surgery scheduling, secretary and others who are invited.

**Length of Service --** A Committee Chair shall be appointed by the Department Chair after consultation with the department faculty. The Committee Chair shall serve for a year and may be reappointed annually. All members shall serve during the length of their employment within the department or as otherwise determined by QA Chair.

**Chair Ex Officio Members --** The meetings will be chaired by the Department Chair or a member appointed by the Chair.

**Frequency of Meetings --** The Committee Chair shall convene the Committee once a month. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

**Minutes:** Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled faculty meetings.

## **Research Committee**

**Purpose** -- The committee shall have the purpose of discussing and reviewing all departmental research. This includes applications for internal and external grants. The committee reviews the progress of all aspects of clinical and basic research.

**Selection and Composition** -- The committee is composed of both clinical and research faculty. Others may be selected at the committee's discretion. The department chair appoints the committee chair after input from faculty. Members are selected in the same manner.

**Length of Service** -- The Committee Chair shall serve for a year and may be reappointed annually. All members shall serve during the length of their employment within the department or as otherwise determined by committee Chair.

**Chair Ex Officio Members** -- The meetings will be chaired by the Department Chair or a member appointed by the Chair.

**Frequency of Meetings** -- The Committee Chair shall convene the Committee quarterly and more often as needed. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

**Minutes** -- Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled faculty meetings.

## **Educational Committee**

The committee will review, discuss and outline the educational program for the department.

**Selection and Composition** -- The committee is chaired by a faculty member appointed by the chairman. The committee is composed of clinical and basic science faculty from within the department. Information from faculty outside the department and university is solicited, reviewed and implemented when appropriate.

**Length of Service** -- The Committee Chair shall serve for a year and may be reappointed annually. All members shall serve during the length of their employment within the department or as otherwise determined by committee Chair.

**Chair Ex Officio Members** -- The meetings will be chaired by the Department Chair or a member appointed by the Chair.

**Frequency of Meetings** -- The Committee Chair shall convene the Committee quarterly and more often as needed. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

**Minutes** -- Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled faculty meetings.

## **RESIDENCY PROGRAM**

### **Admission**

- 1) Decision about admission to the residency program is made by the Selection Committee comprised of faculty of the Department of Ophthalmology & Visual Sciences. All faculty are invited to sit on the selection committee.
- 2) The Director of the residency program is appointed by the Chair of the Department of Ophthalmology & Visual Sciences.
- 3) Prospective resident candidates may apply through Central Application Service at SFmatch.org.
- 4) Required information is collected by the secretary of the applicant program and when files are complete each committee member gets a portion of the files for review and rating and selects potential interview candidates from those files.
- 5) Once all files have been reviewed and potential candidates have been selected, they are given to the program director who then selects 40 – 45 applicants for invitation to interview.
- 6) An email is sent to those applicants being invited to interview for a resident position. They are requested to call the resident applicant program secretary to arrange an interview.
- 7) An email of explanation is sent to those applicants who are not granted an interview.
- 8) Interviews are scheduled for 4 half days toward the end of November/beginning of December.
- 9) Applicants interview with each individual Selection Committee member including Program Director and Chair.
- 10) Upon completion of all interviews, a rating sheet is prepared by the resident applicant program secretary and submitted to the Program Director.
- 11) A ranking list is made at conclusion of interviews after discussion involving all selection committee members.
- 12) The ratings are submitted to the Central Application Service (CAS). All applicants have registered through the San Francisco Matching Program and have been assigned a CAS number.
- 13) Applicants are matched based on the Department of Ophthalmology & Visual Sciences' rating of the applicant and the applicant's rating of a particular program.
- 14) The Program Director and secretary in the Department of Ophthalmology & Visual Sciences is notified by email of the applicants who matched.

### **Requirements for Completion of Residency**

1. Upon admission to the program, the resident will be clearly advised about the rotations he/she must complete.
2. The Department of Ophthalmology & Visual Sciences Residency Program consists of three (3) years.
3. Each resident is required to complete four (4) month rotations each year in the subspecialties of Cornea and External Disease, Vitreo-Retina, Pediatric Ophthalmology & Visual Sciences, Neuro-Ophthalmology & Visual Sciences, Glaucoma, Oculo-plastics, General Ophthalmology & Visual Sciences, and Pathology. In addition, the residents rotate between the University of Kentucky and the VA Hospital.
4. Each resident is evaluated at the end of each rotation by the attending physician the resident has been assigned to.



### **FACULTY PERSONNEL ACTION:**

1. Appointment -- After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.
2. Reappointment/Terminal Reappointment/Non-reappointment -- Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty as appropriate. The Chair will make a decision after a majority vote of the faculty.
3. Promotion/Tenure -- Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty will be requested by the Chair. The Chair will call a special meeting of all tenured faculty as appropriate. The Chair will make a decision after a majority vote of the faculty.
4. Performance Evaluation -- The Chair will discuss junior faculty performance and DOE with senior faculty. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before the senior faculty. The Chair will perform the evaluation and assign the grades after considering all input from the faculty.
5. Reviews of tenure/promotion progress -- The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.
6. DOE -- The Distribution of Effort of each faculty member will be assigned after in depth discussion with the faculty member. Title series of the appointment will be of paramount importance in the assignment of effort for each category. Both the chair and faculty members must sign the DOE.

### **ACADEMIC MATTERS:**

Academic Advising -- The Director of the residency program and the chairman will advise residents on all matters related to their education and training. Other faculty may also advise when deemed appropriate.

Curriculum--The Course Director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. The faculty discuss problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. An agreement is reached among all faculty teaching in a course regarding specific changes. In the case of a lack of agreement among all the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

Class Schedules -- Basically Resident education occurs in the following ways:

- a. Primary Clinical sites and adjunct clinical sites.
- b. Didactics
- c. VA Hospital and community experiences.

Class schedule's are required periodically by appropriate faculty and residents.

Evaluation of Courses -- The Course Director meetings regularly with residents in which course policy, examination policies, etc., are discussed. Concerns are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

#### **BUDGET PREPARATION:**

A budget for the department shall be prepared and established in accordance with the Department's Practice Plan which defines the allocation of resources, limits of expenditures and incentive. Fees from clinical and surgical practices are addressed monthly.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Practice Plan.

#### **STUDENT PARTICIPATION:**

Number of Students Involved -- One or two medical students are chosen to advise faculty on the effectiveness of rotation and didactic presentations.

Method of Selection for Committees-- No student committees are appropriate since accredited courses are for residents only.

#### **CHANGES AND AMENDMENTS**

These Rules of Procedure of the Department of Ophthalmology & Visual Sciences are subject to changes or amendments according to the wish of the faculty. Changes or amendments should be executed in accordance with the procedures as outlined by University governing regulations.

**DEPARTMENT OF ORTHOPAEDIC SURGERY**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURE**

**I. BASIC EDUCATIONAL PROCEDURES**

**1. Medical Student Education:**

The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding policies to serve public service functions. The Department offers core and elective courses to medical students. Core courses are those required either in a professional or a graduate curriculum within the Department of Surgery. Other courses are elective and any faculty member or division may propose an elective course.

The third year medical student rotations will continue to be controlled by the Department of Surgery. Students spending two weeks on Orthopaedics will be assigned to a senior resident. Chapter 7 “Orthopaedic Surgery-Diseases of the Musculoskeletal System” in Essentials of Specialty Surgery, 2<sup>nd</sup> Edition will continue to be required reading. The quiz will continue to be based on this reading. The quiz along with faculty and senior resident evaluations will contribute to each student’s overall grade.

The visiting fourth year students will rotate for one month in Orthopaedics. They will have a choice as to which service they want to rotate on chosen from, Spine, Foot & Ankle, Total Joints, Hand, Sports, and Trauma. The students have a choice to spend 1-2 weeks on any of the services listed. Each student will be assigned to a faculty member from each service to be responsible for the student’s day to day activities. They will be required to take one call every five days. At least two of these calls should fall on a weekend day. Eighty hour work week rules will apply and they will be sent home at noon when post-call. Grades will be determined by the weighted average of faculty evaluations-50% trauma, 25% sports, 25% elective service.

The Fourth year Acting Interns from the University of Kentucky have chosen Orthopaedics as their mandatory surgical AI rotation. They will be treated just like the rotators from other medical schools with one exception. Weighted faculty evaluations will comprise 50% of their grade. The other 50% will be determined by their score on the exam currently given by the Department of Surgery (this exam is given to all 4<sup>th</sup> year medical students after their surgical AI).

## **2. Postgraduate Medical Education:**

The Department offers two types of postgraduate medical training programs, those approved by the American Council on Graduate Medical Education (ACGME), and those approved internally by the College of Medicine's Housestaff Graduate Medical Education (HSGME) committee.

Each program will be under the supervision of a Program Director who will be appointed by the Department Chairperson. The Program Director develops and reviews the program's educational goals and curriculum, plans the distribution of instruction among the faculty, and ensures compliance of the program with all ACGME and HSGME guidelines. The Program Director receives feedback through the Resident Evaluation Process.

The decisions regarding admission of candidates into the ACGME-accredited residency programs are made by the individual Program Director in consultation with the faculty of the department. The selection process for residents utilizes the National Residency Matching Program (NRMP) with rare exception. Prospective candidates may contact either the Program Director to obtain information regarding the application process. This information is also available on the web site for each subspecialty training. Program personal interview with the applicant is a prerequisite for admission. Interviews are offered by the Program Director after review of the candidate's application materials by the faculty. The criteria used in prioritizing candidates for the NRMP are determined by the Program Director in consultation with Departmental faculty. After receiving the NRMP results, the Program Director notifies the College of Medicine's Graduate Medical Education Office of the candidates matched.

The Department offers two types of fellowship training programs, those approved by the American Council on Graduate Medical Education (ACGME), and those approved internally by the College of Medicine's Housestaff Graduate Medical Education (HSGME) committee.

Each Fellowship program will be under the supervision of a Program Director who will be appointed by the Department Chairperson. The Program Director develops and reviews the program's educational goals and curriculum, plans the distribution of instruction among the faculty, and ensures compliance of the program with all ACGME and HSGME guidelines. The Program Director receives feedback through the Fellowship Evaluation Process.

The decisions regarding admission of candidates into the ACGME-accredited fellowship programs are made by the individual Program Director in consultation with the faculty of the department. Prospective candidates may contact the Program Director to obtain information regarding the application process. Program personal interview with the applicant is a prerequisite for admission. Interviews are offered by the Program Director after review of the candidate's application materials by the faculty. The criteria used in prioritizing candidates

## II. FACULTY APPOINTMENT, PROMOTION, TENURE AND EVALUATION:

The membership of the departmental faculty consist of the chair, full- and part-time faculty. Tenured and tenured track faculty possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The “UK COM Procedures for Appointment, Promotion and Tenure” booklet defines the COM appointment, promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. (Tables attached)

### **1. Appointing Faculty Members:**

The Department Chairperson is responsible for recommendations regarding the appointment of new faculty members. Written letters of support are solicited from the tenured faculty associated with the concerned academic division or program area. The Director of a concerned Multidisciplinary Center shall be consulted if the faculty member shall have an initial appointment in that center. The written judgement of each consulted member of the Department, each director of pertinent multidisciplinary research centers and institutes, and the recommendation of the Chairperson will be included in all appointment dossiers.

### **2. Reappointments and Decisions to Not Reappoint:**

The Department Chairperson is responsible for recommendations on the reappointment or non-reappointment of faculty members of the Department. The Department Chairperson will obtain the recommendation of the faculty and the approval of the Dean to consult the faculty associated with the concerned academic program area of the department for input in preparing recommendations for faculty reappointments or non-reappointment. The Director of a Multidisciplinary Center shall be consulted if the faculty member shall have an appointment in that center.

### **3. Terminating Faculty**

The Department Chairperson is responsible for making recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultation with all tenured members of the Department and with all full-time non-tenured members of the Department who are in a tenure track with the actual or equivalent rank of assistant professor or higher who have been members of the Department for two or more years. Faculty members with appointments in the clinical or research title series, however, shall be consulted on a departmental basis as appropriate about termination of individuals of academic ranks equal to or below their own rank in their respective title series.

### **4. Post-Retirement Appointments:**

The Department Chairperson is responsible for recommendations on post-retirement appointments. The Director of Multidisciplinary Center shall be consulted if the faculty member shall have a post-retirement appointment in that center.

## **5. Promotion and the Granting of Tenure:**

The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

Tenure-Same as for promotion.

## **6. Annual Evaluation of Faculty Performance:**

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty. Faculty are evaluated on an annual basis by the Department Chairperson. The Director of a Multidisciplinary Research Center shall participate for those faculty members with such appointments. Each faculty member shall submit an updated CV to the Department Chairperson on an annual basis. Major areas of evaluation include: 1) research and publication, 2) teaching, 3) clinical service, 4) University and public service, and 5) professional activity and administration. If the faculty member disagrees with the review, the faculty member may appeal their review in writing to the Dean.

The Chairperson determines, in consultation with the faculty member, the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chairperson.

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

## **III. FACULTY MEETINGS:**

### **1. Faculty Meeting Membership**

The faculty of the Department of Orthopaedic Surgery consists of the professors, associate professors, assistant professors and instructors appointed in the Department to full-time, part-time, or adjunct positions in Regular Title Series, Special Title Series, Clinical Title Series, or Research Title Series. Members of the Faculty Meeting include the faculty as defined above. Voting members include those defined in Section II, Voting Policy. Votes taken related to the clinical affairs of the Department will be taken in accordance with the Department of Orthopaedic Surgery Practice Plan.

## **2. Regularly Scheduled Faculty Meetings**

Regularly scheduled faculty meetings shall be scheduled monthly and held at least quarterly. Any member may request an item to be placed on the agenda by submitting same to the Chair's office prior to the next scheduled meeting.

## **3. Number needed to Request a Special Meeting**

Special meetings may be called by the Department Chairperson or designee or upon call by 1/3 of the voting members, with written notice of the time and place of each meeting being sent to each member at his/her designated office prior to the meeting date.

## **4. Quorum Necessary for Transaction of Business**

Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

## **5. Presided over by Chairperson or Delegate**

The Department Chairperson shall preside over all departmental faculty meetings, except as the Chairperson delegates this function.

## **6. Minutes Available to Faculty**

Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the department.

## **7. Notification of Meetings**

Contact is made by phone, in writing, or by electronic mail providing the meeting place and time. The Chairperson establishes the agenda and distributes it to the membership before the meeting.

## **8. Voting Policy**

Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his/her part-time appointment provided that they have been members of the Department for 12 months. Voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting. Voting by proxy shall not be allowed at meetings, however, votes of members who are eligible to vote but are absent from a meeting shall be counted in votes taken upon questions which have been presented in written form sent to each member at his/her designated office at least 3 official working days prior to the date of the meeting, and further provided that the vote of the absent member(s) is presented in writing and signed by the member. Actions with respect to modification of the Department of Orthopaedic Surgery Practice Plan will be in accordance with the Plan.

## **9. Conformity to Open Meeting Act**

The Department of Orthopaedic Surgery complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

IV. COMMITTEES:

Departmental Faculty Committees shall be established by the Department Chairperson or as required by the Department Practice Plan. All committees shall have an identified Chairperson appointed by the Department Chairperson. The Committee Chairperson and members shall serve for a period of time at the discretion of the Department Chairperson. The Department Chairperson may serve as an *ex officio* member. The Committee Chairperson shall determine meeting schedules after consultation with the Department Chair. Student and resident participation on committees may be suggested by the individual Committee Chairpersons with the approval of the Department Chairperson and the advice of committee members.

V. BUDGET PREPARATION:

A budget proposal for the Department shall be prepared and established in accordance with the Department's Practice Plan and University policy. It shall be submitted in a form consistent with such format and specificity as established by the University.

The Department's administrative office prepares projections of revenue and expense for the Department budget based on current fiscal year-to-date performance and expected changes. Along with the draft budget, the Department's administrative office prepares individual analyses of faculty compensation. The Chairperson along with the Department Administrator, resolve issues to establish a budget proposal.

The budget proposal is then submitted to the Dean. After the budget is approved, letters and contracts are sent to individual faculty members stating his/her proposed salary for the next year. Faculty members may appeal their proposed compensation as described in the Department of Orthopaedic Surgery Practice Plan.

VI. OTHER:

**1. Establishing or Modifying Rules.**

Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution. Departmental rules are established by the Chairperson with input from the faculty. The Department of Orthopaedic Surgery faculty has jurisdiction over matters concerning its internal educational policies, insofar as these do not conflict with those of other departments or with the rules of the University Senate or the faculty of the College of Medicine. Changes or amendments should be executed in accordance with the procedures described in Section III (8) Voting Policy. Changes of the internal educational policies can be made by a majority vote of the faculty present at a meeting called to address proposed changes.

**2. Copies of Rules to All Faculty.**

All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff and are available on the web.



**DEPARTMENT OF PATHOLOGY AND LABORATORY MEDICINE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. BASIC PROCEDURES**

*Faculty Involvement in Educational Policy Making:*

1. Academic Requirements:

The department faculty in conjunction with the Vice Chairs and the Department Chair work as a group in the development of policies on such matters as academic requirements, courses of study, and class schedules. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding policies to serve public service functions.

2. Courses of Study: see Academic Requirements above

3. Class Schedule: see Academic Requirements above

4. Graduate Programs:

The department shares in the pool of graduate students through the College of Medicine or from the basic science departments and other departments and programs on campus. These students are generally available to faculty that have joint appointments in these departments. Once a student is identified the PI generally supports their salaries from grant resources.

Residency Training Program:

The program is overseen by the Department Chair and the Vice Chair for Education under the direct supervision of the Residency Training Director assisted by the Vice Chair for Education, the Assistant Residency Training Director and the Chief Residents. A Residency Oversight Committee meets regularly to discuss residency training, evaluations of residents, and resident recruitment and selection. The committee is comprised of faculty and residents. The faculty makes decisions about admitted residents after appropriate application and interviews. The Residency Training Director submits the appropriate ranking for the NRMP match program.

The Residency Training Director serves as a member of the Housestaff & Graduate Medical Committee.

5. Research Programs:

The department chair serves as chair of the department faculty in the development of research programs. An appointed Vice Chair of Experimental Pathology oversees faculty with a major time commitment to research. Strong emphasis in the areas of molecular oncology, immunology, genetics, cancer, neurobiology and aging research predominate. Research is part of the faculty derived mission and strategic plan of the department.

**I. BASIC PROCEDURES (continued)**

*Faculty Involvement in Developing Procedures for the Following Areas:*

The membership of the departmental faculty consists of the chair, full- and part-time faculty. Tenured and tenured track faculty possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The “UK COM Procedures for Appointment, Promotion and Tenure” booklet defines the COM appointment, promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. See <http://www.mc.uky.edu/medicine/faculty/table%20F.asp>

6. Service Functions:

Department faculty serve on departmental, college, hospital, UKHealthCare and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research and patient care.

1. Appointing Faculty Members:

The department chair, with the assistance of the vice chairs, is responsible for recommendation of the appointment of new members of the department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure. The procedures for the aforementioned include consultation with all tenured faculty members of the department, and with the directors of any multidisciplinary research centers, other departments, or institutes with which the affected individual(s) are or will be associated. All full-time non-tenured faculty members with the actual or equivalent rank of assistant professor or higher, may be consulted in specific instances. All recommendations on matters listed above, excluding reappointments and post-retirement appointments, shall include the written judgment of each consulted person, along with the recommendation of the Chair.

The Chair will consult with department faculty concerning appointment of new faculty. Department tenured faculty provides written letters of support. For many searches, selected departmental faculty or faculty from other departments may be appointed by the Chair to form a search committee to screen and recommend candidates to the Chair.

2. Reappointments:

All tenured faculty in the department participate in the review process for reappointment of tenure eligible faculty. As mentioned above, Directors of Centers or other departments shall participate for those faculty members with joint appointments. The department chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.

Tenure eligible faculty are reviewed after the second and fourth year of appointment as Assistant Professor in the Regular or Special Title Series. A committee of the tenured faculty makes recommendations to the Chair that are incorporated into a narrative for the faculty member and forwarded to the

Dean's office. The Chair will discuss these recommendations with the faculty member.

Annual review of clinical title and other non-tenured series faculty takes place with the budget process.

3. Terminating Faculty:

Following procedure above in Appointing Faculty Members the department chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with tenured faculty and other appropriate faculty with actual or equivalent rank of assistant professor or higher who have been members of the department for two years or longer.

4. Decisions to not Reappoint: Same as Reappointments

5. Post-Retirement Appointments: Same as Reappointments

6. Granting Tenure:

The tenured faculty committee is appointed to review progress of tenure eligible and non-tenured faculty members and to recommend candidates for promotion. This group is composed of all tenured faculty (regular title series and special title series) within the Department of Pathology and Laboratory Medicine.

If a faculty member at the Assistant Professor level is not recommended for promotion by the tenured faculty of the department, the faculty member is informed immediately in writing by the department chair. The faculty member may request reconsideration by the entire departmental faculty and may submit new information for review.

Written letters of support are provided by the department tenured faculty through the department chair to the College of Medicine's Faculty Appointments, Appeals, Promotions and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion. Written letters of support are also solicited from faculty in other departments and centers as well as from individuals familiar with the faculty member.

The department chair shall notify the candidate of the faculty recommendation before a department recommendation is made to the Dean.

**Tenured Faculty Meeting:** The department chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

**Faculty Participation:** Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vitae to the Chair prior to the scheduled meeting. The department chair shall convey the outcome of the review to the faculty member under consideration. The

## I. BASIC PROCEDURES (continued)

### *Faculty Involvement in Developing Procedures for the Following Areas (continued):*

Chair shall prepare a written review for two and four year periods for non-tenured faculty.

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

### 7. Faculty Performance Evaluations:

The department chair is responsible for the annual evaluation of department members by procedures and criteria established by the Dean of the College of Medicine. The Chair may consult with vice chairs, division directors and center directors as needed. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers in accord with promulgated University rules and procedures.

Faculty performance evaluations are completed after the Chair has met with each member of the department. Criteria used in faculty evaluation include, for tenure track faculty, demonstrated productivity and accomplishments in education, research and clinical/administrative service. For faculty in non-tenure tracks, job descriptions are used in the evaluation process. Goals for the coming year and outcomes of the past year's activities are reviewed for all faculty during evaluation. A written narrative is then attached to the College generated form along with an updated copy of the curriculum vitae and a copy is maintained on file in the department administrative office.

### *Establishing Rules:*

The rules are established by following guidelines set forth by the University and departmental procedures are established by the Chair in consultation with the Vice Chairs, Executive Committee and the faculty.

**Governing and Administration Regulations:** Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

### *Modifying Rules:*

These rules of Procedure of the Department of Pathology and Laboratory Medicine are subject to changes or amendments according to the recommendations of the faculty by discussion at an Executive Committee meeting and/or at a faculty meeting.

### *Copies of Rules to All Faculty:*

Regulations and Rules of Procedures are provided to the faculty and given to new faculty upon their arrival.

## II. MEETINGS/COMMITTEES

### *Regularly Scheduled:*

Faculty Meetings: Faculty meetings are held regularly and at least quarterly with special meetings called at the discretion of the department chair. Written confirmation of the meeting time is sent in the form of e-mail prior to scheduled meeting. Any voting member can request the Chair to call a special meeting by submitting such requests in writing briefly describing the issue which the member wishes to place on the agenda. The meetings are conducted by the Chair or designate. The discussions of the Faculty Meetings shall provide ample opportunity to express individual views.

Executive Committee: The Chair appoints directors of divisions and two faculty elected non-division head to enhance the decision making process. This group is utilized to facilitate and assist in the decision process within the department. The role of the group is to solicit ideas and opinions from the faculty in their areas and to relay that information to the Chair. They have a reciprocal responsibility to convey decisions and other matters of importance to the members of their division. Senior staff identified by the Chair are ex-officio members of the Committee.

Anatomic Laboratory Directors, Clinical Laboratory, and Division Directors Meetings: Each Division or section meets at least quarterly to discuss quality assurance, current operations, new initiatives and major issues in the operations of the department. Membership at these meetings consists of Directors of the Anatomic Laboratories, Clinical Laboratories and other divisions as defined in the Table of Organization of the department. All meetings are attended by faculty, residents when appropriate, and senior staff.

### *Rules Governing Meetings:*

Sturgis' Rules of Order shall govern all meetings. The faculty of the Department of Pathology and Laboratory Medicine consists of the full-time and part-time Professors, Associate Professors, Assistant Professors, and Instructors appointed in any title series. All primary appointment faculty are voting members of the department. Jointly appointed faculty with primary appointments in other departments, are considered non-voting members of the departmental faculty. Action taken at meetings shall require approval by a majority vote of the faculty members present and voting.

### *Presided over by Chair or Delegate:*

The Chair presides at all department meetings, except as may be delegated, and is an ex officio member of all department committees. The Chair has administrative responsibility for implementing the department's programs subject to the rules and regulations of the University, the policies of the University Senate, and the rules of the College of Medicine of which it is a part.

### *Minutes Available to Faculty:*

The minutes of each meeting will be kept in a form that records the actions taken. These minutes are on file in the Chair's office.

*Conformity to Open Meeting Act:*

The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### III. FACULTY PERSONNEL ACTIONS

*Distribution of Effort:*

The faculty member in consultation with the Chair determines the annual distribution of effort assignment. Both the faculty member and the department chair sign the Distribution of Effort Assignment form.

*Evaluation of Faculty Performance:*

Faculty are evaluated on an annual basis by the department chair. The Director of a Multidisciplinary Research Center shall participate for those faculty members with such appointments. Each faculty member submits an updated CV to the department chair on an annual basis. Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) University and public service, 5) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

*Appointments/Reappointments:*

After permission to recruit from the Dean, potential faculty appointments will be discussed with the faculty. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. The Chair will request letters from faculty. The Chair will make a decision after reviewing all input from faculty.

*Reappointment/Terminal Reappointment/Non-reappointment:*

Discussion of any of the above will be at a regularly or specially called tenured faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the tenured faculty. The Chair may request letters from faculty. The Chair will make a decision after a majority vote of the faculty.

*Promotion:*

The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express views and suggestions, which could enhance her/his progress.

*Tenure:*

Same as for promotion

#### IV. ACADEMIC MATTERS

*Academic Advising:* The Office of Education coordinates academic Advising.

*Curriculum:* Medical Student Education: For all courses provided by the department, the Chair and Vice Chair for Education will designate a Course Director, Associate Course Director and an Assistant Course Director when appropriate. Courses will have staff support along with an exam committee composed of the Course Director and three senior faculty members. This group meets periodically with the second year medical school liaison committee (or other student representatives) to discuss course organization, questions about examinations, and scheduling. The course director in consultation with the exam committee and individual instructors determines grades and plans.

Any faculty member can offer an elective course after it has undergone appropriate University approval. Several are offered in the Department of Pathology and Laboratory Medicine. Each elective has a separate Course Director. Responsibilities for individual courses may be delegated by the Chair to specific Course Directors.

*Class Schedules:* The Office of Education and College Curriculum Committee set Class schedules.

*Evaluations of Courses:* This is done by the Course Coordinator through the College of Medicine, Office of Education.

#### V. BUDGET PREPARATION

Prior to the College of Medicine budget preparation the Chair meets with the Vice Chairs to discuss needs of the department. The budget is then prepared by the Chair and the Department Administrator and submitted consistent with such format and specificity as established by the institution. This process follows the rules set forth by the College of Medicine and KMSF.

**DEPARTMENT OF PEDIATRICS**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. BASIC PROCEDURES:**

*Faculty Involvement in Educational Policy Making:*

1. Academic Requirements -- The Department Chair appoints a faculty member as Director of Student Programs with primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding polices to serve public service functions.
2. Courses of Study -- The Department of Pediatrics will provide courses of study for medical students in child health.
3. Class Schedule -- Classes are scheduled by the College of Medicine to accommodate the curriculum requirements.
4. Graduate Programs -- The Department Chair appoints a faculty member as Residency Program Director to manage all phases of the program including residency training, evaluations of residents, and residency recruitment and selection. In subspecialty divisions that offer fellowship training programs, the Department Chair appoints a faculty member as Fellowship Program Director to manage all phases of the program including fellowship training, recruitment and selection, and evaluation of fellows.
5. Research Programs -- The Department Chair may appoint a Vice Chair of Research who reports directly to the Chair. The role of the Vice Chair of Research will be to advise the Chair and/or administer research matters within the Department, including, but not limited to; research space, recruitment, research incentive funds, common equipment, mentoring faculty, developing research focus groups and fund raising.
6. Service Functions -- Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and service which, for the physician, is primarily the prevention, diagnosis and treatment of diseases.

*Faculty Involvement in Developing Procedures for the Following Areas:*

The membership of the departmental faculty consists of the chair, full- and part-time faculty. Tenured and tenured track faculty possesses voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. (Tables attached)



1. Appointing Faculty Members -- The Department Chair shall consult all department faculty for input before new faculty appointments are made. Written letters of support are requested from department tenured faculty.
2. Reappointments -- Division chiefs shall report any concerns regarding reappointment of faculty members in his/her division to the Chair. The Chair will address concerns at the Division Chiefs meeting. If this group feels a faculty member should not be reappointed; tenured faculty from that Division or all tenured faculty within the Department will meet to reach a final decision.
3. Terminating Faculty -- The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department.
4. Decisions to not Reappoint -- Same as Reappointment above.
5. Post-Retirement Appointments -- Retired faculty members may request appointments. Department needs are the determining factor for granting post-retirement appointments in accordance with University procedures.
6. Granting Tenure -- All tenured faculty in the Department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Chair shall request the support of the tenured faculty individually, when one of the faculty members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.

Written letters of support are requested from the department tenured faculty by the Department Chair to the College of Medicine's Appointment, Promotion and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

Tenured Faculty Meeting -- The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

Faculty Participation -- Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vitae to the Chair at least two-weeks prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. Faculty Performance Evaluations -- The Chair will discuss junior faculty performance with senior faculty for the two and four year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present

their input before the senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty.

8. Preparation of Budget Requests -- The Chair of the department is responsible for budget preparation in accordance with the department's practice plan and the process developed by the College, Medical Center and the University.

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

*Policy and procedure for periodic review of department Chairs* - Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

*Establishing Rules* -- Rules are established through participative management. When need for a departmental procedure is identified, the procedure is developed in preliminary form and included for discussion on the agenda of the earliest scheduled faculty meeting.

*Governing and Administration Regulations* -- Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

*Modifying Rules* -- Rules are modified at department faculty meetings through discussion and majority vote.

*Copies of Rules to All Faculty* -- All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff.

## II. MEETINGS:

### Faculty Meetings

1. General: Faculty meetings will be chaired by the Department Chair or a member appointed by the Chair. The faculty of the Department of Pediatrics consists of the full-time and part-time professors, associate professors, assistant professors and instructors. Regular faculty meetings are scheduled generally every month. Special meetings can be called by the Chair or requested by the faculty. Notice of faculty meeting is provided in advance.
2. Agenda: The agenda is prepared by the Department Chair and is distributed with the notification of the meeting in advance. Typical agenda items include: chair's report; patient care including Children's Hospital and outpatient clinic; education including student, resident and continuing education programs; research; financial issues; and, announcements.
3. Quorum: A quorum exists when a majority of faculty members including the Chair are present.
4. Voting: An absolute majority vote is decisive on routine issues. A two-thirds (2/3) majority vote of the tenured faculty is required on departmental policy changes or educational policy changes. Proposed changes to the Department Practice Plan require approval by vote as indicated in the Plan.

5. Minutes: Faculty meeting minutes are prepared by the Chair's secretary and require formal approval of the Department Chair. The minutes are distributed to the faculty prior to the next faculty meeting. Upon request of a faculty member, changes to the minutes may be presented at the next meeting. Minutes include a record of those present and a summary of each agenda item discussed.

*Conformity to Open Meeting Act* -- The College of Medicine complies with all rules and regulations relating to open meetings, open record, and archival requirements, according to University policy.

### III. COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees. Faculty members will be appointed to departmental committees by the chair and serve for two year.

Executive Committee: The Executive Committee is outlined in the Pediatric Practice Plan. This committee meets monthly. Two at large faculty members will be elected to the executive committee as specified in the practice plan.

Student Education Committee: The Director of the Third Year Pediatric Clerkship chairs a committee to develop a curriculum, instructional methods and evaluation.

Resident Education Committee: The Program Director for Pediatric Residency Training is appointed by the Pediatric Chair and serves as the Chair of the Resident Education Committee. The Committee consists of interested faculty and selected residents. It meets on an ad hoc basis to discuss resident education issues.

Mortality and Morbidity: This is a monthly conference held jointly by the Pediatric and Pathology Departments. Post mortem findings are discussed, as well as selective pathological material.

### IV. FACULTY PERSONNEL ACTIONS:

*Distribution of Effort* -- Distribution of Effort Assignments: The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

*Evaluation of Faculty Performance* -- Performance Evaluations: Faculty are evaluated on an annual basis by the Department Chair. Division Chiefs shall be offered the opportunity to participate in the evaluation process of faculty members in his/her Division. Each faculty member submits an updated CV to the Department Chair on an annual basis. Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) University and public service, 5) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

*Appointments/Reappointments* -- After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Several faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each interviewer's input may be open or confidential at the member's

discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

*Reappointment/Terminal Reappointment/Non-reappointment* - Discussion of any of the above will be at a special or regularly held meeting of the tenured faculty members. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair will make a decision after a majority vote of the faculty.

*Promotion* -- The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

*Tenure* -- Same as for promotion

## V. ACADEMIC MATTERS:

*Academic Advising* -- Advising for medical students: Faculty members will serve as advisors for medical students upon request by the office of the Associate Dean for Academic Affairs. The advisors will be available to their students for discussion of career choice, course selection, or other academic matters.

Advising for graduate students: Faculty members will be assigned as advisors for pediatric residents by the residency program director. The advisors will be available to their residents for discussion of career choice, selection of electives, results of evaluations and examinations, and other academic or professional matters.

*Curriculum* -- All third year medical students (approximately 95 each year) are required to undertake a Maternal and Child Health Clerkship and Primary Care Clerkship during which inpatient and outpatient pediatric training is provided respectively.

Elective experience in various disciplines of pediatrics will be made available to medical students, usually during the fourth year.

Pediatric faculty members will participate in educational activities for medical students in the first two years of their training as requested by the office of the Associate Dean for Academic Affairs.

A three year pediatric residency training program (approximately 18 residents), four year medicine/pediatrics residency training program (approximately 24 residents) and a five year pediatrics/adult psychiatry/child psychiatry residency training program (10 residents) will be available through the pediatric department.

A fellowship training program in Neonatology, and possibly in other disciplines, will be available for those who desire further training in pediatric subspecialties.

*Class Schedules* -- The clerkship experiences are as follows:

- a. Primary clinical sites and adjunct clinical sites
- b. Didactics
- c. Community experiences

*Evaluations of Courses* -- Students and residents will be asked to evaluate effectiveness of courses and of faculty members. Results of faculty evaluations will be made available to the faculty member and discussed during the annual performance evaluation by the chairman. Course evaluations will be discussed during regular or special meetings of the department.

- VI. BUDGET PREPARATION: A budget for the department shall be prepared and established in accordance with the Department's Medical Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Administrator under the direction of the Department Chair, in consultation with the Department Executive Committee as defined in the Department's Practice Plan.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan.

- VII. STUDENT PARTICIPATION:

Currently there are no students selected for membership to departmental committees.

# **DEPARTMENT OF PHYSICAL MEDICINE & REHABILITATION**

University of Kentucky  
College of Medicine

## **RULES OF PROCEDURE**

### **I. BASIC PROCEDURES:**

#### **Faculty Involvement in Educational Policy Making:**

1. **Academic Requirements** - The department faculty has primary responsibility for the development of policies related to its academic programs, courses of study and class schedules. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding policies to serve public service functions.
2. **Courses of Study** - See Academic Requirements above
3. **Class Schedule** - See Academic Requirements above
4. **Graduate Programs** - The Residency Training Program meet periodically with the faculty to discuss residency training, evaluations of residents, and residency recruitment and selection.
5. **Research Programs** - The department has instituted a research development initiative whose two-fold purpose is to: 1) facilitate research starts within the department with strong but not exclusive emphasis on junior faculty and residents; and 2) encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs.
6. **Service Functions** - Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. The department emphasized that it's commitment to the service of its patients must be paramount.

#### **Faculty Involvement in Developing Procedures for the Following Areas:**

The membership of the departmental faculty consists of the chair, full- and part-time faculty. Tenured and tenured track faculty possesses voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by this appoint or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. (Tables attached)

1. **Appointing Faculty Members** - The department chair shall consult all department faculty for input before new faculty appointments are made. Written letters of support are provided by department tenured faculty. The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have an initial appointment in that center.
2. **Reappointments** - All tenured faculty in the department shall participate in the review process for reappointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the

non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.

3. Terminating Faculty - The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department and with input as appropriate, but not required, from all full-time, non-tenured members of the department (except those appointed in the research title or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years.
4. Decisions to not Reappoint -- Same as Reappointment above
5. Post-Retirement Appointments -- Same as Reappointment above
6. Granting Tenure - All tenured faculty in the department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a Multidisciplinary Research Center shall also participate for those faculty members with such appointments. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.

Written letters of support are provided by the department tenured faculty through the Department Chair to the College of Medicine's Rank and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

Tenured Faculty Meeting: The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

Faculty Participation: Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vitae to the Chair one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. Faculty Performance Evaluations -- The Chair will discuss junior faculty performance with tenured faculty for the two and four year evaluation reviews. All specific input from tenured faculty will remain confidential, but may be reviewed under the university open records policy. The junior faculty may ask to present their input before the tenured faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty.

8. Preparation of Budget Requests -- The Chair of the department is responsible for budget preparation in accordance with department's practice plan and the process developed by the college, Medical Center and the University. The governing body of the Department of Physical Medicine & Rehabilitation Plan shall be a "Committee of the Whole" composed of the faculty in the department who are members of or eligible for membership in the practice plan and the Department Administrator, an ex officio member. The Committee shall develop guidelines for the preparation of the annual plan budgets of the department and recommend such budgets.

Governing and Administration Regulations: Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

*Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

Modifying Rules - See above

Copies of Rules to All Faculty - All Regulations and Rules of Procedures manuals pertaining to PM&R are maintained in the Department Administrator's office and are available for review by all department faculty and staff. University of Kentucky Rules and Regulations are on-line and readily accessible to all and sundry.

## II. MEETINGS:

General: The Department of Physical Medicine & Rehabilitation faculty has offices and clinical activities in several geographically dispersed sites. For this reason, faculty meetings are essential to the maintenance of collegial communications among faculty members. Candid and open presentation of well-considered points of view is encouraged within the constraints of the limited time available for such meetings.

Regularly Scheduled - The faculty shall convene at least once a month. Any member may request an item to be placed on the agenda by submitting same to the Chair's office at least 2 days prior to the next scheduled meeting, and when approved, are included at the earliest meeting date when time is available on the agenda.

Faculty Meetings Members: Attendance at faculty meetings includes the faculty, Chief Resident, and Department Administrator. The Chief Resident and Department Administrator are non-voting members. The faculty may extend membership to joint appointed faculty though without voting privileges.

Number needed to Request a Special Meeting - Special meetings may be called by the Department Chair or designee or upon call by three (3) voting members or twenty percent (20%) of the voting members, whichever is larger. The Chair shall call the meeting within two weeks.

Quorum Necessary for Transaction of Business - Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

Presided over by Chair or Delegate - The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

Minutes Available to Faculty - Minutes of faculty meetings are prepared under the authority of the Department Chair as delegated. Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the department at or in advance of the next faculty meeting. Minutes shall be approved at the next scheduled meeting. Minutes include, at a minimum, a record of those present, description and disposition of matters submitted for formal vote of concurrence, a record of financial reports (excluding reports themselves), faculty



recruitment transactions, and important items of general information. Attachments to the minutes are used to provide details regarding longer presentations or matters submitted by committee for vote or concurrence.

**Notification of Meetings** - Monthly meetings are scheduled over a six (6) month time period. Contact made by phone or electronic means (fax or Email) is made for confirmation of scheduled meeting place and time and for meeting schedule revisions. Cancellation and rescheduling information is made available to the faculty in as timely manner as possible.

The Chair establishes the agenda and distributes it to the membership.

**Voting Policy** - Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his part-time appointment. Voting by proxy shall not be allowed at meetings, and voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.

**Conformity to Open Meeting Act** - The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### III. COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees. The department has two standing committees:

#### **Education Committee**

**Purpose:** The Committee is responsible for the development and implementation of all department educational programming at the College of Medicine and residency program levels.

**Selection & Composition:** The Committee shall be composed of a Chair appointed by the Department Chair. Committee members shall include the Residency Program Director, Chief Resident, Department Administrator, and other members as appointed by the Department Chair. Others may be invited to be members of the Committee based on the educational issues under the charge of the Committee.

**Length of Service:** The Committee Chair shall be appointed by the Department Chair after consultation with the department faculty. The Committee Chair shall serve for one year and may be reappointed annually. Department committee members serve for one year and may be reappointed annually.

**Chair Ex Officio Members:** The meetings will be chaired by the Department Chair or a member appointed by the Chair.

**Frequency of Meetings:** The Committee Chair shall convene the Committee once a month. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

**Minutes:** Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled faculty meetings.

**Rules of Order:** Robert's Rules of Order shall apply.

## **Research Committee**

**Purpose:** The Committee is responsible for coordination of all department research and liaison with the Cardinal Hill Rehabilitation Hospital Research Committee.

**Selection & Committee Composition:** The Committee shall be composed of a chair appointed by the department Chair. Committee members shall include all Regular Title and Research Title Series faculty, Research Physician Assistants, Research Associates, Department Administrator, and Resident representative.

**Length of Service:** A Committee Chair shall be appointed by the Department Chair after consultation with the department faculty. The Committee Chair shall serve for one year, and may be reappointed annually. All members shall serve during the length of their employment within the department.

**Chair Ex Officio Members:** The meetings will be chaired by the Department Chair or a member appointed by the Chair.

**Frequency of Meetings:** The Committee Chair shall convene the Committee at such intervals as are appropriate to meet their responsibilities, but must meet and report to the faculty at least quarterly. Executive committee meetings of this committee may be convened between regularly scheduled committee meetings.

Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

**Minutes:** Copies of Minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled faculty meetings.

**Rules of Order:** Robert's Rules of Order shall apply.

## **IV. FACULTY PERSONNEL ACTIONS:**

**Distribution of Effort - Distribution of Effort Assignments:** The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

**Evaluation of Faculty Performance - Performance Evaluations:** Tenured faculty are evaluated on a bi-annual basis by the Department Chair. All non-tenured faculty are evaluated on annual basis.

The Director of a Multidisciplinary Research Center shall participate for those faculty members with such appointments. Each faculty member submits an updated CV to the Department Chair on an annual basis. Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) University and public service, 5) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for tenured faculty members (Associate Professors and Professors).

**Appointments/Reappointments -** After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

Reappointment/Terminal Reappointment/Non-reappointment - Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty as appropriate. The Chair will make a decision after a majority vote of the faculty.

Promotion - The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

Tenure - Same as for promotion

## V. ACADEMIC MATTERS:

Academic Advising - The department faculty has primary responsibility for the development of policies related to its academic programs, courses of study and class schedules. Faculty as a whole are responsible for academic advising of M.D., Ph.D. students and medical residents as assigned or volunteered. Superior teaching and advising are recognized as distinct values in the department. Student welfare is also to be advanced through service on student-faculty committees as well as advisor to student organizations. Courses of study are developed to assure that students receive the optimum exposure to relevant areas of Physical Medicine & Rehabilitation. Class schedules are in accord with the medical school academic year and resident rotation schedules.

Curriculum - The Course Director, in conjunction with the Chair, oversees the preparation of a course syllabi, the preparation of examinations and the recording of grades. Specific policies in individual courses are stipulated in the course syllabus which is distributed to the students each year. The faculty discusses problems and needed changes in the course policy at the regular education committee meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at education committee meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. Faculty members serve as instructors in the Physical Diagnosis Course, Gerontology course and are involved in a course in Clinical Decision Making.

Class Schedules - The clerkship experiences are outlined in the syllabus. Basically education occurs in the following ways:

- a. Primary clinical sites and adjunct clinical sites
- b. Didactics
- c. Community experiences

Evaluations of Courses - The Course Director meets regularly with a student Liaison Committee in which course policy, examination policies, etc., are discussed. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings. Resident evaluations of rotations and faculty interactions are submitted to the Housestaff Office and Department Chair for review.

Resident Teaching - Syllabi are developed by faculty on the Education Committee. Schedules of weekly instruction times are developed and distributed on a monthly basis. Medical Students enrolled in Acting Internship and Gerontology course participate in Friday Chief Rounds.

- VI. BUDGET PREPARATION: A budget for the department shall be prepared and established in accordance with the Department's Medical Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Chair, in consultation with the "Committee of the Whole" and upon completion will be presented to the Committee by the Chair.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution. Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan.

- VII. RESIDENT STUDENT PARTICIPATION:

Number of Students Involved - one resident student representative is appointed to the Education Committee and the Research Committee.

Method of Selection for Committees -- The Chief Resident is the resident of choice for the Education committee. Selection to the Research Committee is made by the Residency Program Director.

# DEPARTMENT OF PHYSIOLOGY

University of Kentucky

College of Medicine

## RULES OF PROCEDURE

### I. INTRODUCTION

University Regulations (Governing and Administrative), Rules of the University Senate, Policies of the College of Medicine and the Medical Center and the Rules of the Graduate School define the essential administrative responsibilities and procedures involved in carrying out the Department's functions. Copies of all official rules and regulations are maintained and available for use in the Department office.

### II. ORGANIZATIONAL STRUCTURE

The chair may name a departmental vice-chair who, upon confirmation by a majority vote of the faculty, serves a term of up to six years; upon nomination by the chair, and affirmation by the faculty, the vice-chair's appointment may be renewed. The vice-chair acts on behalf of the chair when the chair is absent, excepting that s/he may not act on matters pertaining to personnel (e.g., hiring, firing, promotion). S/he also serves as Director of Research to coordinate the practical aspects of the departmental research enterprise (e.g., shared equipment). The chair also appoints a Director of Education, who is responsible for co-coordinating the practical aspects of the department's teaching activities (e.g., course scheduling). On most issues and problems, the full-time members of departmental faculty act as a 'Committee of the Whole'. A major exception concerns appointments and promotions to tenured positions which are the responsibility of the tenured faculty of the Department. Additional limitations within the research title series are listed below. A Standing Graduate Affairs Committee, chaired by the Director of Graduate Studies (see "Physiology Graduate Program (Organizational Guidelines)", handles matters related to the graduate program (detailed description appended). A standing Education Committee, chaired by a senior faculty member appointed by the chair, is responsible for maintaining and developing the educational mission of the department. Ad hoc coordinators and committees are designated by the Chair of the department to work on such matters as course planning and management, organization of departmental seminars and conferences, and development of topics for consideration by the faculty as a whole.

### III. RULES OF PROCEDURE

#### Department Faculty Meetings

A standing departmental faculty meeting is scheduled monthly. Special meetings may be requested by any faculty member of the Department. The Chair normally presides but may delegate this function. The Chair is responsible for preparing and circulating an agenda in advance of regular meetings. All members are encouraged to suggest agenda items for discussion and consideration by the Department. At each meeting the Chair reports on the latest meeting of the Council of Chairs and Center Directors of the College of Medicine, as well as activities of other administrative groups which pertain to the Department. When appropriate, the faculty will discuss these reports and request that the Chair convey their views to the appropriate

administrative body. Formal rules of order are not generally used until issues under consideration have been fully examined through free and open discussion. Recognition of consensus or a majority viewpoint is usually accepted except on matters wherein a member requests a formal vote or established regulations so require. It is the responsibility of the Chair to prepare, circulate and maintain brief minutes of each departmental meeting.

Conformity to Open Meeting Act -- The Department of Physiology complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

#### Balance of Research, Teaching and Service

1. The proportion of an individual faculty member's division of effort devoted to research, teaching and service may vary as a function of each individual's interests, extra-mural funding, and demonstrated prior productivity, as well as the requirements of departmental program scheduling, faculty leaves and turnover. Each full time faculty member appointed in the regular academic series shall present annually a plan to the chair for his/her pursuit of research and other creative activity with a description of anticipated outcomes (e.g., papers published, courses developed). Faculty members whose plan gives promise of productivity have a right to expect at least one third of his/her time for pursuit of the proposed research or creative activity.
2. In view of the recognized special research and education role of the basic sciences in the Medical Center, it is the goal of the Department of Physiology that, in the aggregate, the faculty's overall average distribution of effort for research will approximate 50 percent, while teaching and service, combined, will average 50 percent.
3. In order to maintain a reasonable balance of activities, all faculty members requested to assume a major commitment outside of the Department are expected to discuss the matter with the Chair, prior to accepting the commitment.

#### Research Title Faculty Appointments

1. The research title series is a professional series for full time appointment of appropriately qualified individuals who participate in the University's academic program but whose activities are limited to participation in projects which a) involve research or other creative activity, b) are of limited and specified duration, and c) the institution operates under contracts, grants or other designated funds. To establish such a position the Department must a) prepare a proposal demonstrating the need for such a position and indicate the source, amount, and term of funding; b) obtain approvals from the Dean of the College and the Vice President for Research and Dean of the Graduate School. (Adapted from the University Administration Regulations 2:5)
2. Guidelines for determining academic rank and promotion are well spelled out in the Administration Regulations of the University. With respect to length of appointment, an assistant research professor shall be appointed for a specific term not to exceed three years or, if for a lesser period of time, the period of funding from the contract, grant, or other designated funds. As associate research professor or a research professor shall be appointed for a specific term not to exceed five years or, if for a lesser period of time, the

period of funding from the contract, grant, or other designated funds. A faculty member may be reappointed in the research title series for one or more additional terms, contingent upon continuity of funding and the individual's accomplishments. Short-term financial support may be provided by the Department for the productive investigator who is temporarily without extramural funds (i.e., actively seeking grant support). Research space will be negotiated, on appointment, and protected to the same extent as with a regular faculty member. The policy employed for recruiting will be the same as that for the regular title series.

3. The procedure by which an appointee in the research title series may be proposed, recommended, and approved for membership in the Graduate Faculty is the same as that for an appointee in the regular title series. The tenured faculty of the Department of Physiology supports the involvement of these faculty members in our Graduate Program. It is therefore essential that the Department be involved in any decisions that might jeopardize the continuance of a faculty member in this series. This is for the protection of our Graduate Program as well as the individual faculty member.
4. On most matters, voting privileges will be extended to an appointee in this series. However, they shall not be eligible to vote on matters relating to core curriculum, faculty appointment, retention, promotion, or tenure or to be elected to the University Senate. They will otherwise be eligible for all benefits of the regular title series except sabbatical leave.

#### Joint and Adjunct Faculty Appointments

1. Joint appointment of faculty members to the Department of Physiology, as well as adjunct appointments, are considered (and encouraged) provided the faculty member has demonstrated a substantial interest and participation in the teaching and/or research programs of the Department. Individuals considered for adjunct appointment shall generally hold a full- or part-time appointment in good standing at a college or university typically other than the University of Kentucky. The Chair may recommend a joint or adjunct appointment when such action is supported by the majority of the full-time faculty.
2. The normal period of a joint or adjunct appointment is three years. If the faculty member is interested in continuing such affiliation he or she may submit a letter requesting renewal. Such letter should include a brief description of the areas of continuing participation and should be submitted to the Department by May 1 of the third year of current joint or adjunct status. This policy recognizes that faculty interests and departmental programs change over time and provides a mechanism to insure that joint and adjunct appointments continue to reflect substantial interest and participation in Departmental programs.
3. Faculty members with joint or adjunct appointments in Physiology are invited to participate in all general departmental meeting discussions. Formal voting privileges, however, are normally limited to matters related to specific departmental assignment(s) of the joint or adjunct appointee. Departmental business related to final determination of academic policy or matters related to faculty appointment and promotion in the regular title series fall within the sole preview of the full-time faculty. Accordingly, the Chair of

the Department may call meetings limited to full-time faculty members or, when deemed appropriate, may ask that all but such faculty excuse themselves from a general meeting of the department.

4. In special cases approved by the Graduate Affairs Committee and Department Chair, a joint member of the Department may serve as the Director of a Ph.D. dissertation or a M.S. thesis. An adjunct appointee may serve as a member of a graduate special committee, but may not chair the committee.
5. Joint appointment to another department may be requested by any faculty member of the physiology department. The Chair, after consultation with the faculty member and the chair of the other department, shall provide either an affirmative or negative recommendation. Such recommendations shall take into account the potential impact of the proposed joint appointment on the faculty member's responsibilities to this Department, total work load, total distribution of effort, career goals and academic advancement.

#### Graduate Program

The organizational structure and rules of procedure for administration of the graduate program in Physiology are incorporated in the appended documents.

#### Postdoctoral Appointments

These appointments shall be made by individual faculty members to scientists with a Ph.D. or equivalent degree who participate in the research program of the faculty member. The responsibility for the content, duration and evaluation of the training and research experience of these individuals rests with the faculty member involved, with approval from Chair. Funds, as determined by the Department Administrator, must be available before a position can be offered.



**DEPARTMENT OF PHYSIOLOGY**  
**University of Kentucky**  
**College of Medicine**  
**ADDENDUM TO**  
**RULES OF PROCEDURE**

**I. BASIC PROCEDURES:**

Faculty Involvement in Educational Policy Making:

1. Academic Requirements - The department faculty has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules. The Chair of the Department with input from the faculty maintains a tentative schedule of course offerings with teaching assignments for two to three years projected. Prior to each semester in consultation with the faculty a final schedule is agreed upon and communicated to the Registrar.
2. Courses of Study - See Academic Requirements above
3. Class Schedule - See Academic Requirements above
4. Graduate Programs - See Rules of Procedure, # 5
5. Research Programs - See Rules of Procedure, # 2, (1 & 2).
6. The department follows the administrative regulations, AR 5:2, regarding education policies concerning teaching and research assistants.
7. The department follows the education policies established in the Administrative Regulations, AR 3:8 regarding policies to serve public service functions.
8. Service Functions - Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education and research.

Faculty Involvement in Developing Procedures for the Following Areas:

The membership of the departmental faculty consists of the chair, full- and part-time faculty, both regular, adjunct and research title series. Tenured and tenured track faculty possesses voting rights by virtue of their primary appointments in the department. Non-tenure track faculty, adjunct and joint appointees are extended a voting member privilege by this appointment or reappointment with those restrictions noted in "Rules of Procedure," above.

1. Appointing Faculty Members - The department chair shall consult all department faculty members for input before new faculty appointments are made. Written letters of support shall be provided by department tenured faculty. The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have an initial appointment in that center.

2. Reappointments - All tenured faculty members in the department shall participate in the review process for reappointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the non-tenured faculty members of the tenured faculty recommendation before a departmental recommendation is made to the Dean.
3. Terminating Faculty - The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department and with all full-time, non-tenured members of the department (except those appointed in the research title, adjunct, joint or visiting series) with the rank of assistant professor or higher.
4. Decisions to not Reappoint -- Same as Reappointment above
5. Post-Retirement Appointments -- Same as Reappointment above
6. Promotion and the Granting of Tenure -- All tenured faculty members in the department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a Multidisciplinary Research Center shall also participate for those faculty members with such appointments. The Chair shall consult with and seek the support of the tenured faculty, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty. Specific expectations for promotion and/or tenure are detailed in Appendix 1; specification of procedures to be followed in the process of consideration for promotion and/or tenure is detailed in Appendix 2.

The “UK College of Medicine Procedures for Appointment, Promotion and Tenure” booklet defines the COM appointment, promotion and tenure procedures. These are in line with the university administrative and governing regulations. The definitions of scholarship and excellence as used by the “UK College of Medicine Procedures for Appointment, Promotion and Tenure” are defined and the guidelines for promotion are based on these definitions. The attached Tables A-H outlines these guidelines for promotion by faculty designation.

7. Faculty Performance Evaluations - The Chair will discuss junior faculty performance with the tenured faculty for the two and four year evaluation reviews. All specific input from tenured faculty will remain confidential. The Chair will perform the evaluation and sign after considering all input from the faculty.

According to the University Regulations, the performance of all tenured faculty members will be reviewed the first year of the biennium, while the second year of the biennium is at the discretion of the chair. During the second year of the biennium, any tenured faculty member, upon request, must be granted an annual review. The performance of non-tenured faculty (full and part-time) will be reviewed annually. The review period is from January 1st through December 31 and is due in the Dean's Office with an updated CV the first week of February.

8. Policy on whether the faculty standard personnel file is kept in the office of the dean or department chair/director (AR:2:1-1) - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty

member.

9. Policy and procedure for periodic review of department chairs/directors (GR IX.3) Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.
10. Preparation of Budget Requests - The Chair of the department is responsible for budget preparation in accordance with the process developed by the College of Medicine and the University.

Establishing Rules - The Chair of the department establishes and modifies rules of procedure in consultation with the departmental faculty in accordance with the University's Governing and Administrative Regulations.

Modifying Rules - See above

Copies of Rules to All Faculty - All Regulations and Rules of Procedures manuals shall be maintained in the Department Administrator's office and shall be available for review by all department faculty and staff.

## **II. FACULTY PERSONNEL ACTIONS:**

Distribution of Effort - Distribution of Effort Assignments: The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form shall be signed by both the faculty member and the Department Chair.

Evaluation of Faculty Performance -- Performance Evaluations: Faculty members are evaluated on an annual basis by the Department Chair as specified in detail in Appendix 2. The Director of a Multidisciplinary Research Center shall participate for those faculty members with such appointments.

Appointments -- After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

Reappointment/Terminal Reappointment/Non-reappointment - Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty members as appropriate. The Chair will make a decision after a majority vote of the faculty.

Promotion - The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty, as detailed in Appendix 2. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask

for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

Tenure - Same as for promotion

### **III. ACADEMIC MATTERS:**

Academic Advising - Open door advising and schedule appointed times are available as noted in the course syllabus.

Curriculum - The Course Directors, in conjunction with the Chair, oversee the preparation of a course syllabus, the preparation of examinations and the recording of grades. Specific policies in each course are stipulated in the course syllabus which is distributed to the students each year. The faculty discusses problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in this course regarding specific changes. In the case of a lack of agreement among the entire teaching faculty, the Chair, in discussion with the Course Director, makes a final decision.

Class Schedules - The class schedules are outlined in the syllabus.

Evaluations of Courses - All course directors in all Department of Physiology courses shall obtain faculty and course evaluations.

### **IV. BUDGET PREPARATION:**

A budget for the department shall be prepared and established in accordance with the Department's and University Policies and Procedures which define the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Chair, in consultation with the faculty.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

### **V. STUDENT PARTICIPATION:**

Number of Students Involved - one graduate student representative is chosen by the Director of Graduate Studies to attend regular Departmental faculty meetings excluding special meetings of the tenured faculty. Likewise, the Chair or Director of Graduate Studies may identify a student(s) to serve on standing or ad hoc committees as seems appropriate to them and/or to the faculty.

## **PHYSIOLOGY GRADUATE PROGRAM (ORGANIZATIONAL GUIDELINES)**

### **Director of Graduate Studies**

- Appointment-** recommended by Chair of Department and approved by Dean of the Graduate School. Normally, the appointment will be rotated every three years.
- a *Director of Admissions* may also be appointed.
- Charges**
- administrative management and coordination of the Graduate Program
  - Chair, Committee on Graduate Affairs
  - develop monitoring system to follow individual student progress
  - annual report to Graduate School
  - serve as Chair of the Final Examining Committee (or his delegate)
  - monitor professional career development of Graduates of the program
  - coordinate revision of Graduate Program Brochure
  - approves selection of candidate's Advisory and Final Examining committee

### **Director of Admissions**

- Appointment-** by Chair, on recommendation of Director of Graduate Studies.
- Charges**
- oversee admission of students
  - supervise recruiting media such as brochure, web page, advertisement
  - maintain graduate program pages on departmental website

### **Graduate Affairs Committee**

- Appointment -** by Chair, on recommendation of Director of Graduate Studies, for a 2 year term (staggered).
- Membership -** All members of the committee must have primary appointments in the Department of Physiology. A minimum of 4 members must be full members of the graduate faculty. Additional members (1-2) may be added to maintain a reasonable distribution of rank and area of specialization.
- Charges**
- recruitment activity
  - counseling students when appropriate
  - formulates recommendations for faculty action on admission of students
  - provides review of any problems concerning the Graduate Program

**GRADUATE PROGRAM  
DEPARTMENT OF PHYSIOLOGY  
COLLEGE OF MEDICINE  
UNIVERSITY OF KENTUCKY**

**OBJECTIVES:** The Graduate Program of the Department of Physiology is a Ph.D. program. It is designed to educate and train students to be competent research scientists and teachers of physiology. The specific objectives of the program are to provide students with:

1. The capacity to carry out independent research in an area of physiology. This includes the ability to: conceive new and significant hypotheses; investigate the literature with respect to these hypotheses; design studies/experiments to test hypotheses; develop a critical approach to experimental design; and communicate the results of this research in both the written and oral form;
2. Opportunities for training in the teaching of physiology. This may include any of a broad spectrum of experiences and may involve the use of a wide range of educational approaches.

In order to foster these objectives the department is committed to providing each student with:

1. An environment that promotes independent development and habits of life-long scholarship,
2. A broad base of knowledge of the principles of molecular, cellular and organ-system physiology. The student should be able to comprehend and use information from different areas of physiology and have the ability to analyze physiological problems quantitatively.

To fulfill these objectives, the graduate program combines individualized training with formal course work, independent research activities, interaction with scholars at the tutorial level, and independent reading. A high premium is placed on individual responsibility of the student to work toward the above objectives.

**REQUIREMENTS FOR ADMISSION:** Successful completion of the Integrated Biomedical Sciences (IBS) curriculum and selection of a full or joint member of the Physiology Faculty as faculty mentor makes a student eligible for admission to the department. Formal admission requires a 75% vote of the regular faculty in attendance at the appropriate departmental faculty meeting. Petitions for admission may be made by a student's faculty mentor, the Director of Graduate Studies, or their designees.

In conjunction with the Colleges of Medicine and Dentistry, the Department will consider for admission those qualified students wishing to pursue a combined M.D.-Ph.D. or D.M.D.-Ph.D. program in preparation for academic careers.

## **REQUIREMENTS FOR THE DOCTORATE DEGREE (Ph.D.)**

The department provides financial support in the Ph.D. program through a student's fifth year, subject to periodic evaluation as explained below. Continued support after this period is subject to intensive review by the faculty. Since graduate education requires a high level of dedication and effort, students are typically paid a stipend to cover their living expenses and are strongly discouraged from seeking outside employment. In the rare instances when a graduate student feels that part-time employment is necessary, the student must request permission from the Director of Graduate Studies and the faculty mentor prior to every semester they intend to work outside the department. If these faculty members feel that employment is adversely affecting the student's performance, the student may be asked to re-evaluate the decision to be employed outside the department.

### **I. First Year:**

A. Completion of the IBS curriculum. At the University of Kentucky College of Medicine, graduate students are admitted through a common Integrated Biomedical Sciences Program. Students remain in this program for the first year. They take a common curriculum, consisting of six core classes, and do laboratory rotations in their areas of interest. The Integrated Biomedical Sciences Program does not grant degrees. Instead, students enter a degree-granting departmental graduate program. Students may select a departmental program at any time, but formal admission occurs at the conclusion of the first year. Normally, selection of a graduate program depends upon the choice of a faculty mentor. Students who select a member of the Department of Physiology as a faculty mentor and successfully complete the Integrated Biomedical Sciences Program curriculum are eligible for admission to the Physiology Graduate Program.

B. Selection of Dissertation Director and Advisory Committee. Each student selects a mentor who will serve as his or her Dissertation Director. Major responsibility for the student's guidance rests with the mentor. This selection is subject to the approval of the Director of Graduate Studies and the faculty mentor. The Dissertation Director will be a full-time faculty member of the Department of Physiology. In cases where the faculty mentor is a joint appointee of the department, a full member of the Department of Physiology will act as Co-Director and will chair the Advisory Committee. Exception to this may be made in special cases approved by the Graduate Affairs Committee and Department Chair. In the event a Dissertation Director is without tenure or without full Graduate Faculty status, a Co-Director (tenured member) will be designated. The Co-director shares full responsibility for oversight of all aspects of the student's progress.

An Advisory Committee must be selected during the first semester of a student's second year. The Advisory Committee is then appointed by the Graduate School on the recommendation of the Director of Graduate Studies. The Director's recommendation is made after s/he has conferred with the student and the Dissertation Director. The Committee consists of the Dissertation Director, generally as Chair, two or three additional members of the Department of Physiology, and at least one member from a supporting area outside the department - in all, no fewer than five. At least three members must be full members of the Graduate Faculty. The outside member represents the Graduate School and must be a full member of the Graduate Faculty. Membership is tailored as much as possible to match the student's interest and needs. The Advisory Committee must meet at least once every 6 months. A summary of each meeting shall be provided to the Director of Graduate Studies for inclusion in the student's file. The Graduate School and the Department have delegated to the Advisory Committee the responsibility for the major portion of the student's graduate program and it is imperative that each member of the Committee actively participate in the guidance of the student. The Committee advises the student and sets the requirements which the student

must meet before being admitted to the Qualifying Examination. The Advisory Committee keeps minutes of all meetings and sends abbreviated copies to the Dean of the Graduate School with copies to the student, committee members, and Director of Graduate Studies.

The Advisory Committee is especially charged with advising the student on specialized training that will allow them to become expert within their chosen area of physiology. This training can be obtained through advanced courses, tutorials, laboratory research, journal clubs, lab meetings, and other types of individualized instruction. The Advisory Committee must consider the individual needs of each student, advise accordingly, and be willing to assist in this training.

## **II. Second Year:**

**II. Second Year:** All students who begin their tenure in Physiology: second year graduate students transferring from the IBS to Physiology: MD-PhD students: graduate students who are admitted directly to Physiology.

Students are required to take PGY502/602 courses to provide additional training in system/cell/molecular physiology. **Students are required to earn “B” or better grades in PGY502 and to perform at a B level or better in a comprehensive exam that consists of both the written and oral examinations given in PGY602.** Additional coursework is chosen after consultation with the student's research mentor and Advisory committee (see below).

### **A. COURSEWORK**

Full-time graduate students are expected to carry at least 9 credit hours for the fall and spring semesters prior to standing the qualifying exam. Sign up for summer research hours occurs only after consulting with the Director of Graduate Studies.

1. **PGY 774 *Graduate Seminar*** (1 credit) is required of all second and third year PGY graduate students. Senior PGY students are encouraged to attend class when the seminar topic is within their area of specialty. Each third year student is required to present a departmental seminar.
2. **PGY 502 *Principles of Systems, Cellular and Molecular Physiology*** (5 credits): Obtaining a grade of B or better is required of all Physiology graduate students. This is taken in fall of the second year.
3. **PGY602 *Readings in Systems, Cellular and Molecular Physiology*** (3 credits): This companion course to PGY 502 is also taken in the fall of the second year. PGY 602 focuses on application and utilization of physiological concepts presented in PGY 502. A comprehensive written exam and an oral exam will be used to assess this ability. Grading for PGY 602 is based primarily on the outcome of the written and oral examinations.

If students fail to perform at a B level or better in the comprehensive exam, they may be given one opportunity to retake the written and/or oral portions of the exam. The grade on the retake will not be considered for PGY 602 grading. To continue in the Department of Physiology Graduate Program, students must meet the B-or-better performance criteria as assessed by the faculty present/participating in the 602 exam.

4. Additional coursework: Each student's Advisory Committee is charged with determining



whether additional coursework is needed to tailor a student's training to their needs. A list of suggested courses is:

STA 570 or STA 580 *Statistics: strongly recommended*

PGY 601 *Mammalian Endocrinology*

PGY 604 *Advanced Cardiovascular Physiology*

PGY 605 *Principles of Neurobiology*

PGY 606 *Advanced Neurophysiology*

PGY 608 *Advanced Renal Physiology*

PGY 609 *Advanced Respiratory Physiology*

PGY 617 *Physiological Genomics*

PGY 618 *Molecular Neurobiology*

PGY 638 *Developmental Neurobiology*

PGY 660 *Biology of Reproduction*

5. Scientific ethics course: If students have not done so as part of the IBS program, students are strongly encouraged to take a scientific ethics course such as TOX 600 *Ethics in Scientific Research*. All MD-PhD students must take this course during their first summer.

B. Qualifying Exam. The purpose of the Qualifying Exam is for the student to demonstrate a highly advanced understanding of a chosen field, and the ability to make use of this knowledge to formulate a novel hypothesis and a logical experimental design to investigate this hypothesis. The exam will be administered at the beginning of the third year of graduate school (typically in August or September) prior to the sixth week of the fall semester. No preliminary data are required. The composition of this exam is at the discretion of the Advisory Committee but it is recommended that it pertain to the student's area of interest. It may also include examination upon fundamental physiologic concepts and seek to determine the student's ability to apply those concepts in the understanding of physiologic problems.

The recommended format of the exam is to write and defend an abbreviated NIH-format grant proposal. The proposal should be a maximum of 10 single spaced pages, excluding references, and be restricted to Specific Aims, Background, Preliminary Data (if any), and Experimental Design. Traditionally, the subject of the proposal has been the probable dissertation research of the student; however, this is not compulsory. It is important that the hypotheses and specific aims of the proposal be generated by the student. In this regard, it is recommended that mentors restrict their input to the initial development of the basic framework of the proposal. Students will present the Specific Aims of their proposal to their Advisory Committees approximately 6 weeks prior to the Qualifying Exam. It is recommended that the Advisory Committee members provide minimal feedback on the acceptability of the proposal prior to the oral examination. Students should be made aware that the major focus of the oral examination will be upon their chosen area of physiology and closely related topics, but that the committee can ask questions relating to any aspect of physiology covered in a student's previous training.

Preliminary data is not essential for the Qualifying Exam proposal. The Qualifying Exam seeks to test the abilities of students to develop rational and testable hypotheses based on published evidence in the literature. A student's ability to read and understand the literature in their chosen field is therefore an important skill to be developed in preparation for the Qualifying Exam.

At the conclusion of the Qualifying Exam, the Advisory Committee may decide whether to consider the Qualifying Exam proposal, or an upgraded version, for completion of the Dissertation Proposal requirement.

### **III. Subsequent Years:**

#### **A. Communication Skills and Dissertation Proposal**

The development of good communication skills is an important part of graduate education. These skills are improved through a wide range of activities including: seminar courses; diverse teaching experiences; presentations at local, regional and national meetings; writing of manuscripts, research proposals and grants; journal clubs; and the final dissertation. Students are strongly encouraged to participate in all activities deemed appropriate by their advisory committee.

During the third year each student must write a brief dissertation proposal consisting of Specific Aims, Background, Preliminary Data (if any), and Experimental Design. This should be 5 -10 pages in length. The advisory committee may agree to accept the Qualifying Exam proposal as the dissertation proposal. Subsequent to approval by the Advisory Committee, it is recommended that this dissertation proposal be presented in Departmental Seminar Series.

#### **B. Teaching Experience**

An important part of graduate education includes student participation in the teaching program of the Department. Teaching opportunities include lectures, discussion groups, laboratory sessions, and lab demonstrations. Brief blocks of lectures (1-2 weeks) in courses such as PGY 206, or leading discussion sessions in physiology courses provide excellent supervised learning experiences. Course Directors will serve as mentors and provide assistance and feedback for these learning opportunities. The Director of Graduate Studies, in conjunction with the Teaching Director and course directors, coordinates opportunities for teaching with the student and their advisory committee. Students who anticipate teaching in their future are encouraged to take PGY 615 *Seminar in Teaching Medical Science* to obtain specific instruction in teaching.

The Department recognizes that teaching commitments outside the Department may be beneficial learning experiences for some students. However, graduate students must request permission from the Director of Graduate Studies and their mentor prior to every semester they intend to teach outside the department.

#### **C. Dissertation**

With the help and guidance of the Dissertation Director and the Advisory Committee, each student must write a dissertation which is the result of original research and adds to or otherwise modifies what was previously known on the subject. The quality and extent of the work must be such that the Advisory Committee regards it as suitable for publication by reputable scientific journals.

#### **D. Dissertation Seminars**

Each student must present a seminar on his or her dissertation research to the Department before the student's final examination can be defended. Responsibility for timing of the dissertation seminar shall rest with the members of the student's Advisory Committee who will inform the Director of Graduate Studies when the student is ready. The Director of Graduate Studies will then schedule the seminar.

#### **E. Final Examination**

Copies of a dissertation must be distributed to the Advisory Committee and the Director of Graduate Studies thirty days prior to the date of the Final Examination. This triggers the submission of a "Notification of Intent to Schedule a Final Exam" to the Graduate School. The Advisory Committee has two weeks to approve the dissertation document and sign the "Dissertation Approval Sheet." The signed Dissertation Approval Sheet and the "Final Exam Recommendation" form are due at the Graduate School no later than two weeks prior to the Final Examination date. Upon completion of these steps and approval of the Dean of the Graduate School, the candidate is given a final oral exam, or if the Examining Committee

elects, an oral and a written examination. The Examining Committee consists of a minimum of five persons appointed by the Dean of the Graduate School after s/he has conferred with the Director of Graduate Studies. The Director of Graduate Studies (or his delegate) serves as chair of the Examining Committee, and except in unusual circumstances, the Advisory Committee serves as the core of the Examining Committee. The final member of the Examining Committee is an Outside Examiner appointed by the Dean of the Graduate School. The Final Examination will include a defense of the dissertation and may be as comprehensive as the Examining Committee wishes to make it.

F. Termination of a student

A student can be terminated from the program for any of the reasons listed below:

1. Academic probation (a GPA of less than 3.0) for three enrolled semesters.
2. Having failed twice the qualifying examination for the doctoral degree.
3. Misconduct. Procedures outlined in the Student Code will be adhered to with respect to a charge of misconduct.
4. Failure to make progress toward a degree. Upon recommendation of the Director of Graduate Studies or a student's Dissertation Director that a student has evidenced an unwillingness or inability to make progress toward a degree over an extended period, the faculty may dismiss a student by a 75% majority vote.

In addition to the above, all rules and regulations required by the Graduate School of the University of Kentucky will apply.

**THE MASTER OF SCIENCE DEGREE (M.S.)**

The department does not grant the Master of Science degree. Students are admitted to the doctoral program with the understanding that their purpose is to complete the doctoral degree requirements. Under special circumstances, however, the department will consider recommending transfer to the Masters Program in Medical Sciences. It is unlikely that the department will recommend a transfer to the masters program prior to the student's completion of the qualifying examination. Completion of the exam implies that the student will have completed some research and should be able to satisfy the requirements for a thesis masters. The department does not provide financial support for students working toward the Master of Science degree.

## Appendix 1: Performance Expectations for Appointment, Promotion and Tenure in the Department of Physiology:

### Appointment at Assistant Professor:

Individuals being considered for appointment as Assistant Professor in the Regular Title Series shall:

1. have a Ph.D./M.D/D.O./D.V.M. or equivalent and a commitment to original and independent biological or behavioral research with significant formal research training and strong potential for independent funding;
2. be a contributor to, or author of, refereed, substantive publications;
3. have the potential for excellence in research training and in formal classroom or informal education settings.

Individuals being considered for initial appointment as Assistant Professor in the Research Title Series shall be sponsored by a member of the faculty in the Regular Title Series with the understanding that the sponsor shall provide laboratory space and facilities, and salary support, for the appointee as agreed with the Chair. The prospective appointee's curriculum vitae shall be made available to all members of the faculty, as specified in the general rules, above, and the candidate shall give a research seminar, prior to a faculty meeting at which the appointment is discussed.

Appointment at Assistant Professor shall be offered when approved by a majority vote of the faculty and by the Chair.

### Promotion to Associate Professor with Tenure

The candidate shall present evidence of activity and excellence in all relevant areas: research, education, and service, as specified in the attached Tables A-H from the "UK COM Procedures for Appointment, Promotion and Tenure" booklet. In particular, promotion to Associate Professor shall be awarded in conformity to the University of Kentucky expectation that the candidate shall have achieved an "emerging national reputation as an original investigator outside the UK medical community, and membership in professional societies." Objective evidence of attainment of such reputation shall include:

1. A record of excellence in biological or behavioral research is expected. To meet this expectation requires the candidate attain appropriate funding for his/her research program and s/he maintain an active publication record. Candidates shall demonstrate research support including a listing of numbers of grants submitted, approved and funded. There is also expectation of continued independent funding. For publications the expectation includes: a) continued publication in refereed journals of original investigation(s) that significantly advance the candidate's field-of-study; b) senior authorship or contributor of major ideas and innovations; c) identifiable independence from senior scientific mentors. Productivity for promotion is reflected by both the numbers of corresponding author publications and the quality of the journals in which his/her reports appear. As a general guideline, the candidate should average 1-2, or more, first or 'corresponding' author publications per year. Other evidence of scholarly productivity includes demonstration of expertise/leadership in a definable field at the national/international level; independent contributions to collaborative projects; leadership in establishing and maintaining collaborative research groups. Innovation can also be considered by the acquirement of patents or other intellectual property but this alone is not sufficient for demonstration of research excellence.
2. Active and effective participation in research training and in the broader educational mission of the department, or both, is expected of the candidate. Teaching is central to the mission of the University and is an essential consideration for promotion or to the granting of tenure. It is assumed that, except in

special situations, all faculty members holding regular title series appointments shall be involved in teaching. Because it is essential to document not only the extent to which a faculty member is involved in education, but also the quality and effectiveness of these efforts, candidates shall submit a teaching portfolio. The teaching portfolio shall include examples of classroom lectures (including student evaluations), small group teaching/facilitation, seminars, seminar courses, laboratory teaching, simulation development, participation in interdisciplinary courses, participation in evaluation exercises for students and post-graduate trainees, advising/mentoring graduate students, postdoctoral fellows, undergraduates and summer students. Contributions to undergraduate education shall also be considered as these conform to the candidate's Division of Effort agreements.

3. A documentation of service to the Department, University and Scientific community is required. Institutional responsibilities, committee work and activities that serve to interface the institution with the community and state are essential to the welfare of the institution and therefore are worthy of consideration in evaluating a faculty member. Additionally, an emerging national reputation as an original investigator outside the University of Kentucky research community and membership in professional societies is expected. Examples of this evidence include: participation in grant review panels, consultant panels and advisory boards or their equivalent; career development awards or equivalent; positions of leadership or responsibility in professional organizations, agencies and societies and federal agencies or their equivalent; appointment to editorial boards of scientific journals; visiting faculty invitations; participation in the peer review process for academic journals.

#### Promotion to Associate Professor in Research Title Series

Persons who have served as Research Assistant Professor (Research Title Series) shall be considered for promotion to Associate Professor when nominated, with the full support of the Chair, by the faculty, and as is appropriate, by his/her sponsor. Criteria for promotion shall be the same as above, but only in that category, generally research, that accords with his/her Division of Effort agreement.

#### Promotion to Professor with tenure, Regular Title Series

Promotion to Full Professor shall be in conformity to the University of Kentucky expectation that the candidate shall have achieved a "national and international reputation within his or her field, which may be evidenced by memberships in study sections, advisory groups, prestigious professional societies, etc., and awards, prizes and other notable academic achievements." Teaching/educational activities at this stage of development may include major course responsibilities or administrative responsibility for specific areas of patient care or teaching, or evidence of successful mentoring of junior faculty. For persons being considered for promotion to Full Professor in the Regular Title Series, evidence of attainment of such reputation shall include:

1. excellent service as Associate Professor at the University of Kentucky College of Medicine (or equivalent) with important accomplishments in biological or behavioral research. Independent funding and reasonable expectation of continued independent funding, and continuing publication of outstanding, original and innovative findings are essential. A further national and international recognition in their field of study as evidenced by peer recognition that may be manifest by the appointment to editorial boards of quality journals and serving on study sections or advisory groups.
2. continuation of teaching development as a key person in research training and active participation in the education of medical students, graduate students or both. Evidence of course direction, course development or development of new teaching methodologies shall be present. Excellence in contributions to undergraduate education shall also be considered as these conform to the candidate's Division of Effort agreements.

3. effective service to the institution. For instance, one may have gained the confidence of colleagues by being elected to an academic committee or committees involved in the functioning of the institution. It is also expected that the candidate shall exhibit a national and international reputation within his or her field, which may be evidenced by awards from professional societies or international professional organizations and election to office in scientific organizations.

#### Promotion to Professor in Research Title Series

Persons who have served as Research Associate Professor (Research Title Series) shall be considered for promotion to Full Professor when nominated, with the full support of the Chair, by the faculty and, as is appropriate, by his/her sponsor. Criteria for promotion shall be the same as above, but only in that category, generally research, that accords with his/her Division of Effort agreement.

## Appendix 2: Procedures for Consideration for Promotion and/or Tenure in the Department of Physiology

All faculty members below the rank of Full Professor for all title series who have been members of the faculty for a minimum of three years shall be eligible annually for consideration for promotion and, for those in a tenure-track appointment but not already tenured, for tenure. All procedures for considering an individual faculty member of the Department of Physiology shall comply with those listed in the University of Kentucky Administrative Regulations and the "UK COM Procedures for Appointment, Promotion and Tenure" booklet; otherwise, procedures listed in this document shall be followed. Tenure and promotion must be considered separately, but the two may be recommended simultaneously. The procedure for consideration for promotion from Assistant to Associate Professor in any title series may be initiated at any time after three years' service during an assistant professor's appointment within the Department of Physiology. Shorter lengths of service may be appropriate for professionally-established individuals who were hired at a lower rank and/or without tenure. In the event that the faculty and Chair have not recommended instigation of the process by the fifth year following the person's initial appointment, an individual may meet with the Chair and request that s/he be so considered; in such situations the Chair shall bring the request to members of the tenured faculty at a departmental meeting held for that specific purpose. Irrespective of the Chair's or faculty's determinations, any non-tenured faculty member may insist that s/he be considered during his/her sixth year at the University of Kentucky; in such cases the procedures specified below, as appropriate to the applicant's rank and title series, shall be initiated and followed.

At a time of his or her discretion the Chair shall provide thirty or more days' notice for all faculty employees to update their dossier summarizing all relevant aspects of their professional activities. For individuals anticipating the possibility of promotion and/or tenure, the dossier shall be informed by the expectations of performance for tenure and promotion given above, and as these expectations conform to their annual agreements in his/her Division of Effort. For Full Professors, and for individuals not anticipating consideration for promotion and/or tenure within the ensuing 12 months, the annual update may minimally include submission of an updated curriculum vitae. For individuals in the Regular Title Series anticipating consideration for promotion and/or tenure during the coming year the dossier shall minimally include: (a) the individual's curriculum vitae particularly including a listing of all recent publications and grant applications; (b) his/her teaching portfolio, a listing of teaching assignments and relevant teaching materials, students' evaluations of teaching, including graduate students' evaluations, and a listing of the faculty member's trainees, and the trainees' publications and most recent appointments; (c) a listing of all service to the profession, particularly including service to journals as a reviewer, as a member of an editorial board or editor, and of participation in peer review committee(s) with a letter from the Scientific Review Administrator, or other such individual, speaking to said service; (d) a exposition of all engagement with the local, regional or national / international communities. One would normally expect the dossier for persons in the research title series to focus primarily upon research productivity. Irrespective of his/her title series, any additional material a candidate may wish to include within the dossier is welcome to the degree that it speaks at least tangentially to his/her development of a local, regional or wider scholarly reputation.

The Chair shall make dossiers for prospective candidates for promotion and/or tenure available for faculty review, and shall then call a meeting of all faculty members above the level of Assistant Professor for the purpose of reviewing the dossiers of each Assistant and each Associate Professor. Associate and Full Professors shall review all Assistant Professors; Full Professors shall review all Associate Professors. Upon a full and open discussion of each dossier, those faculty members engaged in the respective discussion shall formulate, for the Chair, their evaluation and recommendations for further development of each individual with a consideration toward eventual promotion and/or tenure.

The Chair shall then meet with the candidate to review the faculty's evaluation and recommendations and establish those procedures that appear appropriate to the Chair for that individual's continued professional development.

When in the course of the annual review process an individual is identified by majority vote of the faculty who, in the Chair's and faculty's opinion, has achieved the professional accomplishments, as outlined above, for candidacy for promotion and/or tenure, the faculty shall recommend to the Chair that s/he initiate the process for evaluation of said candidate for promotion and/or tenure through the policies established by the College of Medicine and the University of Kentucky. The Chair shall meet with each candidate to secure his/her agreement with the decision to proceed with this process. Any faculty member so identified who does not wish to be considered in any given year must notify the Chair in writing of his/her decision to decline consideration for promotion and/or tenure. For all other individuals, the Dean of the College of Medicine, and the faculty members of the Department of Physiology, shall be informed of the decision to proceed with the process for promotion and/or tenure.

The initial steps shall include, first, identifying highly respected scientists and/or educators working within the general field of the candidate's scholarly interests from whom letters evaluating the candidate's scholarly productivity may be solicited. The candidate and Chair shall agree upon a minimum of 6 such individuals from the faculty of other departments within the University of Kentucky; these individuals normally will be tenured members of the university faculty. Likewise, the candidate may suggest up to six persons outside the University of Kentucky who, in the candidate's opinion, have a solid basis from which to evaluate the candidate's scholarly productivity; the candidate shall recommend persons who can be expected to write objectively (i.e., "at arms length") and who hold an appointment at an academic institution respected for its research and teaching; with the agreement of the Chair, individuals at research institutes or otherwise working in non-academic settings may be included in the candidate's list. The Chair shall then solicit letters of evaluation from those persons identified from within the University of Kentucky, and from a minimum of six individuals outside the University of Kentucky; the latter shall include two persons suggested by the candidate, but shall also include four persons identified independently by the Chair. A complete set of letters shall be solicited no later than the end of October. Secondly, the Chair shall arrange for the candidate to give a formal seminar in which the candidate shall present his/her scholarly accomplishments. The seminar normally focuses upon recent laboratory findings, and places these findings within a wider scientific context. The seminar shall be presented by the early months of the fall semester, and shall be advertised widely within the departments and divisions of the College of Medicine.

The Chair shall solicit letters of evaluation of the candidate from all tenured faculty members in the Department of Physiology shortly following the candidate's seminar. At the discretion of the Chair invitations to write may also be extended to non-tenured members of the physiology faculty. The solicitation shall give a date by which the evaluations are due in the Chair's office. The faculty shall be invited to read letters from external reviewers prior to submitting their own letters of evaluation. Faculty letters shall focus upon the scholarly activity of the candidate, and shall state explicitly whether, in the writer's opinion, the candidate merits the proposed promotion and, if applicable, the awarding of tenure. The candidate's dossier shall be complete prior to December 1.

The Chair shall meet with a candidate to review the status of the application prior to forwarding the completed dossier, including all letters of recommendation, to the Dean of the College of Medicine. Should the candidate receive unfavorable review by a notable minority, or majority, of the tenured faculty members, the Chair shall offer the candidate the option of foregoing further review by the College of Medicine and the University of Kentucky at this time. Should the candidate accept this



option during his/her sixth year at the University of Kentucky, arrangements shall be made for a final year's academic appointment within the Department of Physiology. The Chair shall announce this decision, and the nature of the expectations for the terminal year's appointment, to the full faculty. Conversely, should the candidate wish to proceed despite unfavorable review by his/her colleagues of the tenured faculty, the candidate shall be invited to include a letter within the dossier responding to such concerns as may have been expressed in letters contained in the dossier. The dossier shall then be forwarded to the office of the Dean, College of Medicine for review and final evaluations. The candidate may update his/her dossier at anytime during on-going evaluative procedures. Such updates would normally be limited to providing notice of the acceptance of a manuscript previously listed as "in review," listing of any manuscripts submitted for review and publication since the dossier was forwarded to the Dean, notice of the award of funding of grant applications or of contracts, or the submission of new application(s) for grants-in-aid.

**DEPARTMENT OF PSYCHIATRY**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. BASIC PROCEDURES**

*Faculty Involvement in Educational Policy Making:*

1. Academic Requirements: The department faculty has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules.
2. Courses of Study: See Academic Requirements above
3. Class Schedule: See Academic Requirements above
4. Graduate Programs: The Residency Training Program meets monthly with the faculty to discuss residency training, evaluations of residents, and residency recruitment and selection.
5. Research Programs: The department has instituted a research development initiative whose two-fold purpose is to: 1) facilitate research starts within the department with strong but not exclusive emphasis on younger faculty and residents; and 2) encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs.
6. Service Functions: Department faculty serve on departmental, college, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. The department emphasized that its commitment to the service of its patients must be paramount.

*Faculty Involvement in Developing Procedures:*

1. Appointing Faculty Members: The department chair shall consult with Executive Committee for input before new faculty appointments are made. Written letters of support are provided by department tenured faculty. The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have an initial appointment in that center.
2. Reappointments: All tenured faculty in the department shall participate in the review process for reappointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.
3. Terminating Faculty: The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department and will all full-time, non-tenured members of the department (except those appointed in the research title or visiting series) with the actual or equivalent rank of assistant professor higher who have been members of the department for two years.
4. Decisions to not Reappoint -- Same as Reappointment above
5. Post-Retirement Appointments - Same as Reappointment above
6. Granting Tenure: All tenured faculty in the department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a

Multidisciplinary Research center shall also participate for those faculty members with such appointments. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.

Written letters of support are provided by the department tenured faculty through the Department Chair to the College of Medicine's Rank and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

**Tenured Faculty Meeting:** The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

**Faculty Participation:** Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair of that fact, and of the date that a tenure faculty meeting will be called for such review.

Candidates shall be required to submit an updated curriculum vitae to the Chair one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgement of their peers on those and other matters, in accordance with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. **Distribution of Effort:** Conforms to the guidelines set by the College of Medicine Office of the Dean for all title series.
8. **Preparation of Budget Requests:** Faculty will submit written requests for budgetary items, complete with justification, to the Chair. The Chair submits requests for review and approval to the Department Administrator

### *Establishing Rules*

Suggestions for modifications and/or new departmental policies/protocols/procedures/rules are made in writing to the Chair who then presents the item for consideration for addition(s) and/or modification(s) and final approval to the Faculty. Copies of the rule are then distributed to each faculty member.

*Modifying Rules:* See Above

*Copies of Rules to All Faculty:* All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff.

## II. MEETINGS

*Regularly Scheduled:* The Faculty shall convene at least once a month. Any member may request an item to be placed on the agenda by submitting same to the Chair's office prior to the next scheduled meeting. **Faculty Meetings Members:** Attendance at faculty meetings include

the faculty, chief Resident, Clinic Manager and Department Administrator. The faculty may extend membership to joint appointed faculty though without voting privileges.

*Number needed to Request a Special Meeting:* Special Meetings may be called by the Chair or designee or upon call by three (3) voting members or twenty percent (20%) of the voting members, whichever is larger. The Chair shall call the meeting within two weeks.

*Quorum Necessary for Transaction of Business:* Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

*Presided over by the Chair or Delegate:* The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

*Minutes Available to Faculty:* Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the department. Minutes shall be approved at the next scheduled meeting.

*Notification of Meetings:* Contact is made by phone and written confirmation of the meeting place and time. The Chair establishes the agenda and distributes it to the membership at least twenty-four hours before the meeting.

*Voting Policy:* Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his/her part-time appointment. Voting by proxy shall not be allowed at meetings, and voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.

*Conformity to Open Meeting Act:* The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### III. COMMITTEES

1. Appointments of all committees are made by the Chair in consultation with the faculty. Committee members will have staggered appointments so that experienced individuals will always be available for committee service, and length of service will be determined by the Chair. The Chair will serve ex-officio on all Department committees.
2. The committees follow the organizational structure of the Department and are:
  - a. in the area of education
  - b. clinical service
  - c. research
  - d. fiscal affairs

Standing Committees are:

#### **RESIDENCY EDUCATION:**

*Purpose:* The Residency Education Committee is an advisory committee responsible for making recommendations to the training directors relevant to all issues regarding the three resident training programs administered in the department: Psychiatry; Pediatrics, Psychiatry, and Child & Adolescent Psychiatry (Triple Board); and Child & Adolescent Psychiatry. These issues include but are not limited to the following areas: resident recruitment, personnel evaluations, goals and objectives of rotations, supervision of residents, resident schedules, and requirements for completion of the programs. Meetings provide a medium for communicating between training sites and among faculty and residents. The committee also provides a forum for open discussion among attending supervisors, site administrators and residents of policies and problems related to resident training.

*Selection and Composition:* The committee is chaired by the residency training directors. In the absence of a preference among directors (of which there may be from one to three) the director of the Psychiatry program chairs the meeting. All attending supervisors of approved training sites are automatically members of the committee. Also included on the committee automatically are the Associate Residency Training Directors, the Chair of the Department (ex-officio), and the Chief of the Child Psychiatry Division, the Director of Eastern State Hospital, and the Chief Residents. In addition, one resident from each year of residency training is selected by the residents as their representative. All residents and faculty are welcome to attend the meetings.

*Length of Service of Members:* Faculty members serve on the committee as long as they are the designated resident supervisor for the resident rotation; resident representatives have a one-year appointment but are eligible for reappointment if selected by their resident group.

*Chair Ex-Officio Members:* The meetings will be chaired by the Department Chair or a member appointed by the Chair.

*Frequency of Meetings:* The Residency Education Committee meets monthly on the third Thursday from 12 Noon to 1:00 pm. A copy of the agenda is provided to committee members prior to the meeting.

*Minutes:* Copies of the minutes are distributed to members and to all residents and are available in the records of the training program. These are also made available to the Internal Residency Review Committees and at the ACGME program reviews.

*Rules of Order:* Robert's Rules of Order shall apply.

### **KMSF Executive:**

*Purpose:* The purpose of the KMSF Executive Committee is to advise the Chair of the Department on all matters having to do with the Department of Psychiatry Plan, and to develop guidelines which shall be advisory to the Chair in all financial matters.

*Selection & Composition:* The Committee shall be composed of the following: The Chair of the Department; a tenured member of the full-time faculty whose primary academic appointment is in the Department of Psychiatry from the Psychiatric Child Services, which shall include the Child and Adolescent Inpatient Services, Outpatient Clinics, and Pediatric Consultation/Liaison Service; a tenured member of the full-time faculty whose primary academic appointment is in the Department of Psychiatry from the Psychiatric Adult Services, which shall include the Outpatient Clinic, Consultation Service, the UK Ward, the VA Ward, and Charter Ridge Hospital; a tenured member of the full-time faculty whose primary academic appointment is in the Department to Psychiatry from the non-physician faculty of the Department; a non-tenured member of the full-time faculty whose primary academic appointment is in the Department of Psychiatry elected from the Department at Large.

*Length of Service:* The members shall be elected to a two-year term with the exception of a one-year term for the non-tenured member elected from the Department at large.

*Chair Ex-Officio Members:* The meetings will be chaired by the Department Chair or a member appointed by the Chair.

*Frequency of Meetings:* The Chair shall convene the Committee at least once a month, and the committee members shall receive written notice of committee meetings one week before the scheduled meeting.

*Minutes:* Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled meetings.

*Rules of Order:* Robert's Rules of Order shall apply.

*Faculty Executive Council:*

*Purpose:* The purpose of the Faculty Executive Council is to advise the Chair of the Department on all matters having to do with faculty and staff issues. The Council was formed to assist the Chair in the decision-making process of a large department. The Council discusses major issues and decisions facing the Department to reach a consensus. The Council meets at least monthly.

*Selection & Composition:* The Committee shall be composed of the following: The Chair of the Department; a tenured member of the full-time faculty whose primary academic appointment is in the Department of Psychiatry from the Psychiatric Child Services, which shall include the Child and Adolescent Inpatient Services, Outpatient Clinics, and Pediatric Consultation/Liaison Service; a tenured member of the full-time faculty whose primary academic appointment is in the Department of Psychiatry from the Psychiatric Adult Services, which shall include the Outpatient Clinic, Consultation Service, the UK Ward, the VA Ward, and Charter Ridge Hospital; a tenured member of the full-time faculty whose primary academic appointment is in the Department to Psychiatry from the non-physician faculty of the Department; a non-tenured member of the full-time faculty whose primary academic appointment is in the Department of Psychiatry elected from the Department at Large.

*Length of Service:* The members shall be elected to a two-year term with the exception of a one-year term for the non-tenured member elected from the Department at large.

*Chair Ex-Officio Members:* The meetings will be chaired by the Department Chair or a member appointed by the Chair.

*Frequency of Meetings:* The Chair shall convene the Committee at least once a month, and the committee members shall receive written notice of committee meetings one week before the scheduled meeting.

*Minutes:* Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled meetings.

*Rules of Order:* Robert's Rules of Order shall apply.

**Research Development Review Committee:**

*Purpose:* The Department has instituted a research development initiative whose two-fold purpose is to: 1) facilitate research starts within the Department of Psychiatry with strong but not exclusive emphasis on younger faculty and residents; and 2) encourage research starts and pilot projects among faculty and residents to establish external funding with salary savings and indirect costs. The major research programs are in the areas of eating disorders, substance abuse, new anti-psychotic drugs, creativity and madness, rural mental health, attention deficit hyperactivity disorder, post-traumatic stress disorder, suicide in adolescents, depression in women, anxiety disorders, Alzheimer's disease, criminality and sexual abuse. Other areas include biologic psychiatry, child and adolescent psychiatry, educational research, psychodynamic psychiatry, and sociocultural psychiatry.

*Selection & Composition:* The Research Development Review Committee consists of the Chair: Verner Stillner, M.D., Vice-Chair for Research, J. Wesson Ashford, M.D., Ph.D., Clinical Consultant to the Commissioner, Ed Maxwell, M.D., Director of Eastern State

Hospital, Dan Luchtefeld, M.D., Commissioner Elizabeth Wachtel, Margaret Pennington, M.S.S.W., Marti Sale, Department Administrator, with Executive Director of the Outpatient Clinic, Donald E. Ralph, Ph.D. and Robert Kraus, M.D., former Chair of the Department as co-conveners.

*Length of Service:* The Department Chair will appoint members for one year and may reappoint them annually.

*Chair Ex-Officio Members:* The meetings will be chaired by the Department Chair or a member appointed by the Chair.

*Frequency of Meetings:* The Chair shall convene the Committee quarterly, and the committee members shall receive written notice of committee meetings one week before the scheduled meeting.

*Minutes:* Copies of minutes shall be made available to all committee members. Minutes shall be approved at the next scheduled meeting. A copy of Committee minutes shall be submitted for review at regularly scheduled meetings.

*Rules of Order:* Robert's Rules of Order shall apply.

Ad hoc committees shall be appointed by the Chair as needed.

#### IV. FACULTY PERSONNEL ACTIONS:

*Distribution of Effort:* Distribution of Effort Assignments: The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

*Evaluation of Faculty Performance:* Performance Evaluations: Faculty are evaluated on an annual basis by the Department Chair. The Director of a Multidisciplinary Research center shall participate for those faculty members with such appointments. Each faculty member submits an updated CV to the Department Chair on an annual basis. Major areas of evaluation include: 1) research; 2) teaching; 3) Clinical service, 4) University and public service, 5) professional activity and administration. Greater weight is given for national and internal recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

*Appointments/Reappointments:* After permission to recruit from the dean, potential faculty appointments will be discussed at regularly or specially called tenured faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty including a majority vote.

*Reappointment/Terminal Reappointment/Non-reappointment:* Discussion of any of the above will be at a regularly or specially called faculty meeting. a full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present their case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair will call a special meeting of tenured faculty. The Chair will make a decision after a majority vote of the faculty.

*Promotion:* The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

*Tenure:* Same as for Promotion

## V. ACADEMIC MATTERS

*Academic Advising:* All faculty participate in student advising.

*Curriculum:* The Course Director, in conjunction with the Chair, oversees the preparation of a course syllabus, the preparation of examinations and the recording of grades. Specific policies are stipulated in the course syllabus which is distributed to the students each year. The faculty discuss problems and needed changes in the course policy at the regular faculty meetings. The progress of students, needed changes in course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all faculty teaching in the course regarding specific changes. In the case of a lack of agreement among all of the teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

*Class Schedules:* The clerkship experiences are outlined in the syllabus. Basically education occurs in the following ways:

- a. Primary clinical sites and adjunct clinical sites
- b. Didactics
- c. Community experiences

*Evaluations of Courses:* The Course Director meets regularly with a student Liaison Committee in which course policy, examination policies, etc., are discussed. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

## VI. BUDGET PREPARATION

A budget for the department shall be prepared and established in accordance with the Department's Medical Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department Budget.

The Department budget shall be prepared by the Department Chair, in consultation with the "Committee of the Whole" and upon completion will be presented to the Committee by the Chair.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan.

## VII. STUDENT PARTICIPATION

*Number of Students Involved:* The number of students involved is as follows: two resident representatives who are chosen by the resident group to serve on the Residency Education Committee. The Chief Resident attends as an ex-officio member.

*Method of Selection for Committees:* Same as above.



**DEPARTMENT OF RADIATION MEDICINE**  
**University of Kentucky**  
**College of Medicine**

**RULES OF PROCEDURE**

**I. BASIC PROCEDURES:**

*Faculty Involvement in Educational Policy Making:*

1. *Academic Requirements* -- The department faculty has primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules. The department follows the education policies established in the Administrative Regulations, AR 3:8,.B4 regarding polices to serve public service functions.
2. *Courses of Study* -- The Department offers three types of courses: a) core, b) service, and c) elective. Core courses are those required in a professional curriculum within the Department of Radiation Medicine (i.e., for residents). Service courses are offered by the Department to fulfill primarily the need of students administratively housed outside the Department; however, professional students in the Department may take service courses, as well. Elective courses are offered by individual faculty members. Students may enroll in these courses on a strictly elective basis. Any faculty member may offer an elective course after it has been approved by the University Senate.
3. *Class Schedule* -- See Academic Requirements above
4. *Graduate Programs* -- The Chief Resident meets periodically with the faculty to discuss residency training, evaluations of residents, and residency recruitment and selection. In addition, ongoing evaluation efforts are undertaken, consistent with the policies and procedures of the Graduate Medical Education Office.
5. *Research Programs* -- The department attempts to facilitate research initiatives within the department with strong but not exclusive emphasis on younger faculty and residents and encourages "seed" research and proposals and pilot projects among faculty and residents to establish external funding.
6. *Service Functions* -- Department faculty serve on departmental, UK HealthCare, College of Medicine, and university committees as assigned with attention being given to assure a proper balance between such assignments and the primary requirements for education, research, and patient care. The department emphasizes that it's commitment to the service of its patients must be paramount.

*Faculty Involvement in Developing Procedures for the Following Areas:*

The membership of the departmental faculty consist of the chair, full- and part-time faculty. Tenured and tenure track faculty possess voting rights by virtue of their primary appointments in the department. Non-tenure track faculty are extended a voting member privilege by their appointment or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures. These are in line with the University Administrative and Governing Regulations. The department has developed Statements of Evidence related to scholarship and excellence that are used by the COM as guidelines to assist in decisions regarding promotion and tenure.

1. *Appointing Faculty Members* -- The department chair shall consult department faculty for input before new faculty appointments are made. Written letters of support may be provided by department faculty.

2. *Reappointments* -- Tenured faculty in the department shall participate in the review process for reappointments of non-tenured faculty. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a departmental recommendation is made to the Dean.
3. *Terminating Faculty* -- The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with tenured members of the department and with full-time, non-tenured members of the department (except those appointed in the research title or visiting series) with the equivalent (or higher) academic rank as compared to the faculty member under consideration for re-appointment or termination.
4. *Decisions to not Reappoint* -- Same as Reappointment above
5. *Post-Retirement Appointments* -- Same as Reappointment above
6. *Granting Tenure* -- All tenured faculty in the department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty.

Written letters of support are provided by the department tenured faculty through the Department Chair to the College of Medicine's Rank and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

**Tenured Faculty Meeting:** The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' curriculum vitae shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

**Faculty Participation:** Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Chair and of the approximate date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated curriculum vitae to the Chair approximately one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two and four year periods for non-tenured faculty.

7. *Faculty Performance Evaluations* -- The Chair will discuss junior faculty performance with senior faculty for the two and four year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before the senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated CV for all non-tenured full-time faculty and at least bi-annual evaluations for all tenured faculty.

8. *Standard Personnel File* - The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

9. *Policy and procedure for periodic review of department Chair* - Every two years, or as determined by the Dean, the Dean will electronically send out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data when making his recommendation to the Provost for the reappointment of the chair.

10. *Establishing Rules* -- These Rules of Procedure of the faculty of the Department of Radiation Medicine are subject to change or amendment according to the wish of the faculty. A vote taken to effect any new policy matter or change shall occur only at a meeting subsequent to its initial introduction on the agenda unless there is a documented urgency declared by the Chairperson.

11. *Governing and Administration Regulations*: Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution.

12. *Modifying Rules* -- See above

13. *Copies of Rules to All Faculty* -- All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff. Additionally, copies are circulated to all faculty.

## II. MEETINGS:

1. *Regularly Scheduled* -- The faculty shall convene at least quarterly. Any member may request an item to be placed on the agenda by submitting same to the Chair's office prior to the next scheduled meeting. Faculty Meetings Members: Attendance at faculty meetings include the faculty and Department Administrator. The faculty may extend membership to joint appointed faculty though without voting privileges.

2. *Number needed to Request a Special Meeting* -- A special meeting can be called by the Chairperson. Any voting member may request the Chairperson to call a special meeting by communicating either verbally or submitting such request in writing briefly describing the issue which the member wishes to place on the agenda. The Chairperson shall call the meeting within five working days.

3. *Quorum Necessary for Transaction of Business* -- A quorum exists at each meeting if more than one-half of the full-time faculty of the Department is present, regardless of the number of other members.

4. *Presided over by Chair or Delegate* -- The Department Chair shall preside over all departmental faculty meetings, except as the Chair may delegate this function.

5. *Notification of Meetings* -- Written confirmation of the meeting place and time can be done through memo or use of email. The Chair establishes the agenda and distributes it to the membership before the meeting. Any member can request an item to be placed on the agenda by submitting it to the chairperson's office in sufficient time to distribute it among members.

*Voting Policy* -- On routine issues, an absolute majority vote of the voting members present is decisive. Issues involving fundamental changes in the educational or other policies of the

Department can be decided only by a two-thirds majority vote. Voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.

*Conformity to Open Meeting Act* -- The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### III. COMMITTEES:

Departmental Faculty Committees shall be established by the Chair in consultation with department faculty. The Department Chair shall serve as an ex-officio member of all departmental committees. The department has two standing committees:

#### **Quality Assurance Committee**

*Purpose:* The Committee shall have the responsibility for review of quality assurance and patient safety issues involving all patient care services within the department. The review, analysis and recommendations of the Committee are a patient safety activity as defined in 42 U.S.C. section 299b-21(5) for the improvement of patient safety, health care quality, and/or health care outcomes.

*Selection & Committee Composition:* The Committee shall be composed of Department faculty physicians and physicists, Clinic staff, and Department Administrator or his/her designee, as determined by consultation between the department chair and the chair or co-chairs of the committee.

*Length of Service:* A Committee Chair shall be appointed by the Department. Co-chairs are also acceptable, e.g. physics and physician. The Committee Chair(s) shall serve for two years, and may be reappointed.

*Conduct of the meeting:* The meetings will be chaired by the Committee Chair or a member appointed by the Chair.

*Frequency of Meetings:* The Committee Chair shall convene the Committee once a quarter. Committee members shall receive written notice of Committee meetings one week before the scheduled meeting.

*Minutes:* Minutes of the Quality Assurance Committee are patient safety work product as defined by 42 U.S.C. section 299b-21(7). Minutes, if taken, shall be approved by the chair before distribution to the faculty and before the next scheduled meeting. Review of the minutes by faculty and staff who are not members of the Committee for the purposes of furthering the patient safety goals of the Committee shall not constitute a waiver of the confidentiality and privilege protections of patient safety work product. Approved minutes shall be submitted to UK Healthcare Patient Safety Officer for submission to the Patient Safety Organization contractually elected by UK Healthcare for the transmission of patient safety work product.

#### **Technology Committee (IMPAC Committee)**

*Purpose:* The committee shall have the responsibility of assessing and working to resolve or meet the technology needs of the department. This includes technology assessment, advising regarding capital equipment requests of a technology nature, serving as the interface between the Information Technology component of UKHC and the department, and other functions related to the use of technology in the department.

*Selection and Committee Composition:* The committee is chaired by the Information Technology Manager assigned to the department by Information Services, additional representation from the central IS group, the chief of medical physics and other physicists

he/she might designate, the department chair, administrator, vice-chair, billing and compliance manager, and others as determined by the department chair or committee chair.

*Length of service:* The members serve on this committee by virtue of their particular role in the department and therefore serve for the duration of their employment in that particular role.

*Conduct of the meeting:* An agenda will be prepared by the Committee Chair, and the conduct of the meeting will proceed from the written agenda, with the meeting conducted by the committee chair.

*Frequency of meetings* Normally, the committee will meet monthly, although special meetings can be called by the committee chair on an *ad hoc* basis.

*Minutes:* Minutes, if taken, will be distributed to the committee and others on a “need to know” basis.

#### IV. FACULTY PERSONNEL ACTIONS:

*Distribution of Effort* -- Distribution of Effort Assignments: The Chair in consultation with the Dean and the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair.

*Evaluation of Faculty Performance* -- Performance Evaluations: Non-tenured faculty are evaluated on an annual basis by the Department Chair. Each faculty member submits an updated CV to the Department Chair on an annual basis. Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) University and public service, 5) professional activity and administration.

*Appointments/Reappointments* -- After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate CV materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty.

*Reappointment/Terminal Reappointment/Non-reappointment* - Discussion of any of the above may be at a regularly or specially called tenured faculty meeting. Letters from faculty may be requested by the Chair. The Chair will make a decision after input from the faculty.

*Promotion* -- The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

*Tenure* -- Same as for promotion

#### V. ACADEMIC MATTERS:

*Academic Advising* -- Students enrolled in each program will be provided (in a timely fashion) with a list of core courses in which they have to enroll. Students may enroll in elective course on a strictly elective basis.

*Curriculum* -- Coursework required for specific programs shall be designed to meet certification needs, accreditation standards and/or other regulatory requirements, including those of the Graduate School and Medical School, where appropriate. The Medical and Physics

Residency Programs of the Department of Radiation Medicine shall be carried out in full accordance with standards and practice deemed appropriate by both the accrediting agency and the University of Kentucky.

*Class Schedules* -- Responsibility for scheduling and otherwise arranging for service courses rests with the Department Education Coordinator in collaboration with the Director(s) of programs to be serviced.

*Evaluations of Courses* -- The Course Director meets regularly with a student Liaison Committee in which course policy, examination policies, etc., are discussed. Concerns of the students are brought to the attention of the entire faculty at the regularly scheduled faculty meetings.

#### VI. BUDGET PREPARATION:

A budget for the department shall be prepared and established in accordance with the Department's Medical Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department Budget.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan.

#### VII. STUDENT PARTICIPATION:

*Number of Students Involved* -- There is no University required student representation inasmuch as the Department is not administratively responsible for any graduate or undergraduate programs of the University.

*Method of Selection for Committees* -- same as above

**DEPARTMENT OF RADIOLOGY**  
**University of Kentucky**  
**College of Medicine**

**RULES AND PROCEDURES**

**I. BASIC PROCEDURES:**

*Faculty Involvement in Educational Policy Making:*

The Department of Radiology faculty consists of full-time professors, associate professors, assistant professors, as well as joint appointments and adjunct professors, and has the primary responsibility for the development of policies related to its academic programs, courses of study, and class schedules. Course descriptions follow. The Department follows the education policies established in the Administrative Regulations, AR 3:8.B4, regarding policies to serve public service functions.

1. Courses of Study -- All medical students are introduced to Radiology during their second year (**IMP 821**) with 3 lectures on Abdominal Radiology, Neuroradiology, and Musculoskeletal Radiology. A senior elective (**DR850**) is offered for individuals with a possible interest in radiology as a subspecialty or those who wish to observe a radiology practice in a large academic department. Additionally, an off-site elective (**DR890**) is designed for the senior medical student who wishes to explore the role of the radiologist in a small community. Refer to Appendix A for detailed course descriptions.

2. Class Schedule --

**IMP821:** Refer to Appendix B for lecture schedule.

**DR850:** This course is available during all academic blocks except period 05. A maximum of 8 students can enroll each period. The daily class schedule is as follows:

- Students observe in the various reading areas from 8:00 am – 5:00 pm, Monday through Friday.
- Students also attend twice daily department conferences, as applicable (7:00 am & 12:00 pm).
- Students attend specially prepared didactic lectures given by a faculty member from each specialty division. Refer to Appendix B for detailed schedule.
- Students participate in one after-hours shadowing rotation during the four-week course. This rotation begins at 12:00 pm and ends at 9:00 pm (shadowing begins at 5:00 pm).

**DR890:** This course is offered during all academic blocks. The number of students assigned to off-site locations per period is based on preceptor availability. Students rotate at their assigned off-site facility during normal working hours, Monday through Friday, 8:00 am – 5:00 pm. Class schedules are determined by the preceptor and vary by location.

3. Graduate Programs -- The Residency Program Director meets periodically with the faculty to discuss resident education, evaluations of residents, and resident recruitment and

selection. The residency consists of clinical rotations through the various radiologic subspecialties in accordance with the requirements of the Accreditation Council for Graduate Medical Education (ACGME) and other governing bodies. In addition, there is a rotating two-year core curriculum of formal instruction. This curriculum includes didactic lectures in all subspecialty areas including physics, unknown case presentations, journal clubs, and morbidity and mortality conferences, and is provided twice daily as a supplement to the clinical rotations.

In addition, a 4-week course at the Armed Forces Institute of Pathology covering radiologic/pathologic correlation of disease, a visiting lecture series of nationally recognized academicians, and department-supported attendance at national society meetings are all ongoing portions of the educational experience in Radiology.

4. Research Programs -- The Department has instituted a research development initiative whose two-fold purpose is to facilitate research start-ups within the Department with strong but not exclusive emphasis on early-career faculty, resident, and students.
5. Service Functions -- Department faculty serves on departmental, college, and university committees as assigned with attention given to ensure a proper balance between such assignments and the primary requirements for education, research, and patient care. The Department's commitment to the service of its patients is of the highest priority.

*Faculty Involvement in Developing Procedures for the Following Areas:*

The membership of the departmental faculty consists of the chair, full- and part-time faculty. Tenured and tenure-track faculty possesses voting rights by virtue of their primary appointments in the Department. Non-tenure-track faculty is extended a voting member privilege by this appointment or reappointment. The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures; these are in line with the University Administrative and Governing Regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions.

1. New Faculty Appointments -- The Department Chair shall consult all department faculty for input before new faculty appointments are made. Written letters of support are provided by Department tenured faculty. The Director of a Multidisciplinary Center shall be consulted if the new faculty candidate shall have an initial appointment in that center. AR 2:1
2. Reappointments -- All tenured faculty in the Department shall participate in the review process for reappointments of non-tenured faculty. The Director of a Multidisciplinary Center shall participate for those faculty members with such appointments. The Department Chair shall notify the non-tenured faculty member of the tenured faculty recommendation before a Departmental recommendation is made to the Dean. AR 2:1
3. Terminating Faculty -- The Department Chair is responsible for recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultations with all tenured members of the department and will all full-time, non-tenured members of the department (except those appointed in the research title or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years. AR 2:1



4. Decisions to Not Reappoint -- Same as Reappointments above.
5. Post-Retirement Appointments -- Same as Reappointments above.
6. Granting Tenure -- All tenured faculty in the Department shall participate in the review process for promotion of non-tenured faculty to a tenured rank. The Director of a Multidisciplinary Research Center shall also participate for those faculty members with such appointments. The Chair shall consult with and seek the support of the tenured faculty individually, when one of their members is considered for promotion. College of Medicine rules govern the promotion of tenured faculty. AR 2:1

Written letters of support are provided by the Department tenured faculty through the Department Chair to the College of Medicine's Appointment, Promotion and Tenure Committee, and form a part of the dossier submitted to that Committee when proposing a faculty member for promotion.

The Department Chair shall notify the candidate of the faculty recommendation before a Department recommendation is made to the Dean.

**Tenured Faculty Meeting:** The Department Chair shall call a special meeting of all tenured faculty for consultation regarding faculty promotions and review of tenure progress of non-tenured faculty members. A written agenda and copies of faculty members' *curricula vitae* shall be circulated to members of the tenured faculty for review prior to the scheduled meeting.

**Faculty Participation:** Faculty being considered for promotion or review of tenure progress shall be notified in writing by the Department Chair of that fact, and of the date that a tenured faculty meeting will be called for such review.

Such faculty members shall be required to submit an updated *curriculum vitae* to the Department Chair one week prior to the scheduled meeting. Faculty are encouraged to submit additional data at the time of annual reviews, and shall have the privilege of dissent from the judgment of their peers on those and other matters, in accord with promulgated University rules and procedures.

The Department Chair shall convey the outcome of the review to individual faculty members. The Chair shall prepare a written review for two- and four-year periods for non-tenured faculty.

7. Faculty Performance Evaluations -- The Department Chair will discuss junior faculty performance with senior faculty for the two- and four-year evaluation reviews. All specific input from senior faculty will remain confidential. The junior faculty may ask to present their input before the senior faculty. The Chair will perform the evaluation and sign after considering all input from the faculty.

The College of Medicine policies require an annual faculty performance review and an updated *curriculum vitae* for all tenured and non-tenured full-time faculty.

8. Preparation of Budget Requests -- The Department Chair is responsible for budget preparation in accordance with the Department's Medical Practice Plan and the process developed by the College, Medical Center, and the University. The Department of

Radiology's budget is developed in concert with the Department Administrator and is reviewed by the Executive Committee.

*Establishing Rules* -- Rules and/or policies, or alterations, are developed by the Executive Committee after submission by appropriate members of the faculty, then presented to the Department faculty for vote for revision, adoption, or rejection.

Governing and Administration Regulations: Rules of Procedure for Department faculty are superseded by governing and administrative regulations of the institution.

*Modifying Rules* -- See above.

*Copies of Rules to All Faculty* -- All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all Department faculty and staff.

## **II. MEETINGS:**

*Regularly Scheduled* -- The faculty shall convene at least semi-annually and upon call by the Department Chair or by two-thirds of the voting members. The Executive Committee shall meet at least every other month and upon call by the Department Chair or by one-third of the members of the Committee. Attendance at faculty meetings includes the faculty and the Department Administrator.

*Number Needed to Request a Special Meeting* -- Special meetings may be called by the Department Chair or designee or by two-thirds of the voting members.

*Quorum Necessary for Transaction of Business* -- A quorum is met by the presence of 60% of the faculty. Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

*Presided Over by Chair or Delegate* -- The Department Chair shall preside over all Department faculty meetings, except as the Chair may delegate this function.

*Minutes Available to Faculty* -- Copies of Department faculty meeting minutes shall be made available to all members of the faculty of the Department.

*Notification of Meetings* -- Contact is made by phone and written confirmation of the meeting place and time. The Chair establishes the agenda and distributes it to the membership at least 24 hours before the meeting.

*Voting Policy* -- Each member holding full-time (i.e., at least a 10-month appointment) faculty appointments shall have one vote, and each member holding 50% or greater part-time faculty appointments shall have a one-half vote. Voting by proxy shall not be allowed at meetings, and voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting.

*Conformity to Open Meeting Act* -- The College of Medicine complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### **III. COMMITTEES:**

Department faculty committees shall be established by the Chair in consultation with Department faculty. The Department Chair shall serve as an *ex-officio* member of all Department committees. The Department has no standing committees except for the Executive Committee.

### **IV. FACULTY PERSONNEL ACTIONS:**

*Distribution of Effort* -- Distribution of Effort Assignments: The Chair in consultation with the faculty member determines the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chair, and forwarded to the Dean.

*Evaluation of Faculty Performance* -- Performance Evaluations: Faculty is evaluated on an annual basis by the Department Chair. Each faculty member submits an updated *curriculum vitae* to the Department Chair on an annual basis. Major areas of evaluation include: 1) research, 2) teaching, 3) clinical service, 4) University and public service, and 5) professional activity and administration. Greater weight is given for national and international recognition and leadership within the University community for senior faculty members (Associate Professors and Professors).

*Appointments/Reappointments* -- After permission to recruit from the Dean, potential faculty appointments will be discussed at regularly or specially called faculty meetings. Faculty members will meet the candidate, review appropriate *curriculum vitae* materials, letters and other pertinent information. Each faculty member's input may be open or confidential at the member's discretion. Letters from faculty will be requested by the Chair. The Chair will make a decision after reviewing all input from faculty.

*Reappointment/Terminal Reappointment/Non-Reappointment* -- Discussion of any of the above will be at a regularly or specially called faculty meeting. A full and open discussion shall be held on the merits of any of the above. Faculty under consideration may request to present his/her case to the full faculty meeting. Letters from faculty may be requested by the Chair. The Chair may call a special meeting of all tenured faculty as appropriate. The Chair will make a decision after reviewing all input from the faculty.

*Promotion* -- The Chair will review periodically, according to UK regulations, the tenure/promotion progress of the appropriate faculty. Explanations of satisfactory performance as well as unsatisfactory performance will be given. The Chair will ask for faculty input and relay such information to the faculty under review. The Chair's review with the faculty member is free and open and the faculty member is encouraged to express their views including suggestions which could enhance their progress.

*Tenure* -- Same as for *Promotion* above.

*Standard Personnel File* -- The Standard Personnel File is maintained in the Dean's Office. The Department maintains a Departmental personnel file for each faculty member.

*Policy and Procedure for Periodic Review of Department Chairs* -- Every two years the Dean electronically sends out surveys to Department faculty and staff regarding the Chair's

performance. The Dean discusses the results with Chair and uses the resulting data when making his recommendation to the Provost for the reappointment of the Chair.

## **V. ACADEMIC MATTERS:**

*Advising* -- Radiology faculty are customarily available for advising and/or directing medical students, graduate students and/or residents. Upper level medical students with strong interests in Radiology freely seek out faculty for direction, especially as it pertains to various sub-specialties. On occasion, medical students are assigned a regular advisor from the Department's faculty.

Needed changes in the course policy or teaching content are presented at the regular faculty meetings. The progress of students, course content and distribution of topics are also discussed at faculty meetings. A consensus is generally reached among all teaching faculty regarding specific changes. In the case of a lack of agreement among the entire teaching faculty, the Chair, in discussion with the Course Director, makes a final decision. The Course Director, with the help of appropriate senior faculty, is responsible for attending lectures of junior faculty in order to provide guidance and appropriate input in evaluation of teaching.

*Curriculum and Class Schedules* -- The medical student experiences are outlined in section I.2 and sample schedules are attached. Basically, education occurs in the following ways:

- a. Primary clinical instruction
- b. Didactics
- c. Community experiences

*Evaluations of Courses* -- The Course Director reviews on a regular basis the student course evaluation forms in which course policy, examination policies, etc., are discussed. Concerns of the students are brought to the attention of the entire faculty at scheduled faculty meetings.

## **VI. BUDGET PREPARATION:**

A Department budget shall be prepared and established in accordance with the Department's Medical Practice Plan which defines the allocation of resources, limits on expenditures and management of the Department budget.

The Department budget shall be prepared by the Department Chair, in consultation with the Executive Committee and upon completion will be presented to the appropriate institutional entity.

Budgets shall be prepared and submitted consistent with such format and specificity as established by the institution.

Interim modifications in established Department budgets shall be made in accordance with the Department's Medical Practice Plan.

## **VII. STUDENT PARTICIPATION:**

*Number of Students Involved* -- One outstanding senior medical student is chosen each year and recognized via an award, as well as an outstanding resident.

*Method of Selection* -- The outstanding student is elected by faculty ballot and the outstanding resident is chosen based on academic performance.

## **APPENDIX A**

**COURSE NUMBER:** IMP 821

**TITLE OF COURSE:** Introduction to the Medical Profession (Radiology Module)

**LOCATION:** UKMC

**COURSE DIRECTOR:** Scott Morehead, M.D.

**COURSE COORDINATOR:** Karen McClanahan

**RADIOLOGY COURSE DIRECTOR:** Steven J. Goldstein, M.D.

Room HX313C; UKMC

Speed Sort: 0298

Phone No: 323-8746

Email: [sjgold2@email.uky.edu](mailto:sjgold2@email.uky.edu)

**RADIOLOGY COURSE COORDINATOR:** Sally Jones

Room HX-315E, UKMC

Speed Sort: 0293

Phone No: 323-5291

Email: [sajone2@email.uky.edu](mailto:sajone2@email.uky.edu)

**OVERALL COURSE DESCRIPTION:** This course serves as a bridge between the basic and clinical sciences, the goal being that the student would gain the knowledge and skills necessary to develop into an excellent diagnostician. The following time-honored skills are stressed in IMP-821:

- The ability to perform a history and physical examination
- Integration of basic laboratory and radiographic data
- Differential diagnosis formulation

Budding physicians face many challenges to medical practice, often resulting in less time available for one-on-one patient interaction. This lack of interaction time can potentially produce physicians who are poor bedside clinicians as well as being disengaged from patients. In practical terms humane medical practice starts with the history and physical examination. It is during this process that the patient begins to identify and to trust the examiner as his/her physician, and in turn, the physician should also begin to identify with the patient's needs. Thus, this course will attempt, where appropriate, to also stress the humane and non-medical aspects of the patient-physician interaction.

This course uses different modalities to help the student attain the above-noted goals: formal lectures, textbook readings, small group tutorials, preceptorship, workshops, and written and practical testing. Both technical and theoretical knowledge will be taught by a wide array of faculty from the College of Medicine. As such, satisfactory performance requires more than just passing written tests. Attending lectures and instructional sessions with practice of techniques during and outside of scheduled class meetings is essential to good performance in this course. It is also hoped that students will identify the faculty instructors as role models, as much can be gained from a

mentoring relationship. The student will gain most from instructional sessions if they have prepared by reading beforehand.

**RADIOLOGY MODULE DESCRIPTION:** The radiology section of this course is designed to introduce students to diagnostic imaging and familiarize them with the clinical applications of the various modalities used in radiology and nuclear medicine. Students will be provided with three one-hour didactic lectures in neuroradiology, abdominal radiology and musculoskeletal radiology.

**Module Objectives:**

- Understand the basic physics of x-rays and how they are produced and understand the risks of x-ray exposure
- Know the clinical applications of: radiography, fluoroscopy, ultrasonography (US), computed tomography (CT), magnetic resonance imaging (MRI), and nuclear scanning (NM)
- Know the benefits of and indications for intravenous or oral contrast agents

**Radiology Lecture Goals & Objectives:**

A. Abdominal Radiography:

- Understand the utility of plain films and the ability to recognize on plain films the position of a Dobhoff feeding tube, abdominal free air and small bowel obstruction.
- Know the various barium studies.
- Know the preferred imaging modality for various common abdominal and pelvic processes.

B. Neuroradiology:

- Know the utility of plain films, CT scan, MRI, angiography and myelography
- Recognize cerebral infarction and the various intracranial bleeds on non-contrast CT scan.

C. Musculoskeletal Radiology:

- Understand the utility of plain films and the ability to recognize arthritis, fractures and tumors on plain film
- Understand the clinical indications for CT scan, MRI, arthrography and bone scan.

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**COURSE NUMBER: DR 850**

**TITLE OF COURSE: Clinical Clerkship in Diagnostic Radiology**

**LOCATION: UKMC**

**COURSE DIRECTOR:** Steven J. Goldstein, M.D.

Room HX313C; UKMC

Speed Sort: 0298

Phone No: 323-8746

Email: [sjgold2@email.uky.edu](mailto:sjgold2@email.uky.edu)

**COURSE COORDINATOR:** Sally Jones

Room HX-315E, UKMC

Speed Sort: 0293

Phone No: 323-5291

Email: [sajone2@email.uky.edu](mailto:sajone2@email.uky.edu)

**COURSE DESCRIPTION:** This clerkship is an extension of the introductory IMP-821 course in which the student was introduced to the various types of radiographic studies and their applications to the more common disease entities. DR-850 will emphasize the diagnostic approach to the work-up of disease. The student will be provided a close look into the various subspecialties in radiology. The course will instruct the student as to what types of studies to order, the limitation of these exams, and the contraindications to these exams. The student will be introduced to a basic approach in viewing the radiographs.

Students will be expected to attend daily observation rotations in the various reading areas, daily departmental conferences and scheduled course lectures, participate in one evening shadow rotation, review on-line teaching files, complete on-line exercises and prepare/present a teaching case at the end of the course. A final exam will be given at the end of the clerkship.

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**COURSE NUMBER: DR 890**

**TITLE OF COURSE: Off-Site Clerkship in Diagnostic Radiology**

**LOCATIONS:** Kentucky (Currently: Bowling Green, Corbin, Elizabethtown, Lexington, Morehead, Murray, Owensboro)

**COURSE DIRECTOR:** Arthur Lieber, M.D.

**COURSE COORDINATOR:** Sally Jones

Room HX-315E, UKMC

Speed Sort: 0293

Phone No: 323-5291

E-mail: [sajone2@email.uky.edu](mailto:sajone2@email.uky.edu)

**COURSE DESCRIPTION:** This clerkship is designed for the senior medical student who wishes to explore the role of the diagnostic radiologist in a small community. The student should not expect to become proficient in interpreting radiologic studies by its completion.

A student completing this course will acquire 1) an appreciation of the relationship of the radiologist to other physicians in the community, such as primary care physicians and some specialists such as surgeons and oncologists; 2) an appreciation of the indications and contraindications for radiologic studies in a community hospital; 3) an appreciation of the non-radiologic knowledge required of a community radiologist who may be called upon for advice on management of some illnesses; and 4) an appreciation of the most frequent radiographic manifestations of common medical problems.

## **APPENDIX B**

### **COURSE NUMBER: IMP 821**

<b>DATE</b>	<b>LECTURE TITLE/LECTURER</b>	<b>TIME /LOCATION</b>	
01/21/2010	Introduction to Neuroradiology 2 <sup>nd</sup> Year Class	3:00 – 4:00 pm	T.B.D.
02/18/2010	Introduction to Abdominal Radiology 2 <sup>nd</sup> Year Class	3:00 – 4:00 pm	T.B.D.
02/25/2010	Introduction to Musculoskeletal Radiology 2 <sup>nd</sup> Year Class	3:00 – 4:00 pm	T.B.D.

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### **COURSE NUMBER: DR 850**

<b>DATE</b>	<b>LECTURE TITLE/LECTURER</b>	<b>TIME /LOCATION</b>	
Week 1 (Wed)	Neuroradiology: “What the Non-Radiologist Needs to Know” Dr. Steven Goldstein	3:00 – 4:00 pm/HX303	
Week 2 (Tues)	Abdominal Radiology: “Abdominal Imaging” Dr. Scott Stevens	7:00 – 8:00 am/HX303	
Week 2 (Thur)	Emergency Radiology: “Evidence-Based Imaging” Dr. Jason Rexroad	2:00 – 3:00 pm HX303	
Week 3 (Tues)	Musculoskeletal Radiology: “What to Order and When” Dr. James Wise	7:00 – 8:00 am HX303	
Week 3 (Wed)	Nuclear Medicine: “Introduction to Nuclear Medicine” Dr. Gary Conrad or Dr. Partha Sinha	4:00 – 5:00 pm HX303	
Week 3 (Fri)	Neuroradiology: “Introduction to Neuroradiology” Dr. Curtis Given	7:00 – 8:00 am HX303	
Week 4 (Tues)	Emergency Radiology: “Oops!” Dr. Joseph King	2:00 – 3:00 pm HX303	
Week 4 (Wed)	Cardiothoracic Radiology: “Introduction to Cardiothoracic Radiology” Dr. Anil Attili	4:00 – 5:00 pm HX303	
Week 4 (Thur)	Vascular & Interventional Radiology: “Look at the Cool Stuff We Can Do in IR” Dr. Patrizio Capasso	2:00 – 3:00 pm HX303	



**DEPARTMENT OF SURGERY**  
**University of Kentucky**  
**College of Medicine**  
**RULES OF PROCEDURE**

**I. BASIC EDUCATIONAL PROCEDURES**

**1. Medical Student Education:**

The Department offers core and elective courses to medical students. Core courses are those required either in a professional or a graduate curriculum within the Department of Surgery. Other courses are elective and any faculty member or division may propose an elective course.

Each course will be under the supervision of a Course Director who will be appointed by the Department Chairperson. The Course Director initiates the outline of the course, plans the division of instruction and, after consultation with the Surgery Education Committee, outlines the rules, procedures and the method of grading. After the elements of course structure and administration have been approved by the Chairperson of the Department and the College of Medicine Curriculum Committee, they will be stated in a syllabus and the course will be included in the Catalog.

The Director with the participation of the Surgery faculty will supervise the course. The Course Director determines the grade following the grading policy described in the course syllabus and signs the grade sheet. The Course Director receives feedback through the Student Evaluation Process.

**2. Postgraduate Medical Education:**

The Department offers two types of postgraduate medical training programs, those approved by the American Council on Graduate Medical Education (ACGME), and those approved internally by the College of Medicine's Housestaff Graduate Medical Education (HSGME) committee.

Each program will be under the supervision of a Program Director who will be appointed by the Division Chief from among divisional faculty after approval by the Department Chairperson. The Program Director develops and reviews the program's educational goals and curriculum, plans the distribution of instruction among the faculty, and ensures compliance of the program with all ACGME and HSGME guidelines. The Program Director receives feedback through the Resident Evaluation Process.

The decisions regarding admission of candidates into the ACGME-accredited residency programs are made by the individual Program Director in consultation with the faculty of the respective division. The selection process for preliminary and categorical residents utilizes the National Residency Matching Program (NRMP) with rare exception. Prospective candidates may contact either the Program Director or the Surgery Education Office to obtain information regarding the application process. This information is also available on the web site for each specialty training program.

A personal interview with the applicant is a prerequisite for admission. Interviews are offered by the Program Director after review of the candidate's application materials by

the faculty. The criteria used in prioritizing candidates for the NRMP are determined by the Program Director in consultation with Division faculty. After receiving the NRMP results, the Program Director notifies the College of Medicine's Graduate Medical Education Office of the candidates matched.

3. The department follows the administrative regulations, AR 5:2, regarding education policies concerning teaching and research assistants.
4. The department follows the education policies established in the Administrative Regulations, AR 3:8 regarding policies to serve public service functions.

## II. FACULTY APPOINTMENT, PROMOTION, TENURE AND EVALUATION:

### **1. Appointing Faculty Members:**

The Department Chairperson is responsible for recommendations regarding the appointment of new faculty members. Because the Department of Surgery is large and diverse, the Department Chairperson has obtained the recommendation of the faculty and the approval of the Dean to consult the faculty associated with the concerned academic division or program area for input in preparing recommendations for faculty appointments. Written letters of support are solicited from the tenured faculty associated with the concerned academic division or program area. The Director of a concerned Multidisciplinary Center shall be consulted if the faculty member shall have an initial appointment in that center. The written judgement of each consulted member of the Department, each director of pertinent multidisciplinary research centers and institutes, and the recommendation of the Chairperson will be included in all appointment dossiers.

### **2. Reappointments and Decisions to Not Reappoint:**

The Department Chairperson is responsible for recommendations on the reappointment or non-reappointment of faculty members of the Department. Because the Department of Surgery is a large and diverse department, the Department Chairperson has obtained the recommendation of the faculty and the approval of the Dean to consult the faculty associated with the concerned academic division or program area of the department for input in preparing recommendations for faculty reappointments or non-reappointment. The Director of a Multidisciplinary Center shall be consulted if the faculty member shall have an appointment in that center.

### **3. Terminating Faculty**

The Department Chairperson is responsible for making recommendations to the Dean on terminating faculty. Procedures and criteria used in preparing recommendations shall include consultation with all tenured members of the Department and with all full-time non-tenured members of the Department who are in a tenure track with the actual or equivalent rank of assistant professor or higher who have been members of the Department for two or more years. Faculty members with appointments in the clinical or research title series, however, shall be consulted on a departmental or divisional basis as appropriate about termination of individuals of academic ranks equal to or below their own rank in their respective title series.

#### **4. Post-Retirement Appointments:**

The Department Chairperson is responsible for recommendations on post-retirement appointments. Because the Department of Surgery is a large and diverse department, the Department Chairperson has obtained the recommendation of the faculty and the approval of the Dean to consult the faculty associated with the concerned academic division or program area of the Department for input in preparing recommendations for post-retirement appointments. The Director of Multidisciplinary Center shall be consulted if the faculty member shall have a post-retirement appointment in that center.

#### **6. Promotion and the Granting of Tenure:**

The Chairperson of Surgery appoints a Promotion and Tenure Committee each year. The purpose of the Committee is to review the Curriculum Vitae, Teaching Portfolio, and other pertinent information of faculty members being proposed for promotion and those who are up for a two or four year review of progress towards promotion and tenure. The Committee advises the Department Chairperson as to the progress of the individuals up for two and four year reviews and makes recommendations on whether to support faculty for promotion. Once the Department's Promotion and Tenure Committee meets and submits their recommendations, a Department of Surgery Tenured Faculty meeting is held.

At that meeting, the Tenured Faculty are asked to review the same submitted information of those up for promotion and two or four year review. They too are asked to comment on whether the individuals are making good progress toward promotion and whether they are to be supported by the Department for promotion. The tenured faculty members also make recommendations for the junior faculty regarding what they may need to do to enhance their chances of being promoted and/or receiving tenure. The Department Chairperson uses the recommendations of the Department's Promotion and Tenure Committee and the Tenured Faculty when meeting with the reviewed individuals.

Faculty members with appointments in the clinical or research title series, however, shall be consulted on a departmental or divisional basis as appropriate about promotion of individuals to academic ranks equal to, or below, their own in their respective title series, but will not be consulted on matters relating to promotion or tenure of faculty in the regular or special title series.

The "UK COM Procedures for Appointment, Promotion and Tenure" booklet defines the COM appointment, promotion and tenure procedures. These are in line with the university administrative and governing regulations. The definitions of scholarship and excellence as used by the COM are defined and the guidelines for promotion are based on these definitions. The attached Tables A-H outlines these guidelines for promotion by faculty designation.

#### **7. Annual Evaluation of Faculty Performance:**

The College of Medicine policies require an annual faculty performance review and an updated CV for all tenured and non-tenured full-time faculty. Faculty are evaluated on an annual basis by the Division Chief and Department Chairperson. The Director of a Multidisciplinary Research Center shall participate for those faculty members with such appointments. Each faculty member shall submit an updated CV to the Division Chief and Department Chairperson on an annual basis. Major areas of evaluation include: 1) research and publication, 2) teaching, 3) clinical service, 4) University and public service,

and 5) professional activity and administration. If the faculty member disagrees with the review, the faculty member may appeal their review in writing to the Department Chairperson. The Department Chairperson reviews the faculty member's performance evaluation, discusses the appeal with the faculty member, and renders a judgment. If a faculty member still disagrees with the evaluation, they may appeal their evaluation in writing to the Dean.

The Chairperson and the Division Chief determine, in consultation with the faculty member, the annual distribution of effort assignment. The Distribution of Effort Assignment form is signed by both the faculty member and the Department Chairperson.

8. The Standard Personnel File is maintained in the Dean's Office. The department maintains a departmental personnel file for each faculty member.

9. Every two years the Dean electronically sends out surveys to departmental faculty and staff regarding the chair's performance. The Dean discusses the results with Chair and uses the data result when making his recommendation to the Provost for the reappointment of the chair.

### III. FACULTY MEETINGS:

#### 1. Faculty Meeting Membership

The faculty of the Department of Surgery consists of the chair, professors, associate professors, assistant professors and instructors appointed in the Department to full-time, part-time, or adjunct positions in Regular Title Series, Special Title Series, Clinical Title Series, or Research Title Series. Members of the Faculty Meeting include the faculty as defined above. Voting members include those defined in Section II, Voting Policy. Votes taken related to the clinical affairs of the Department will be taken in accordance with the Department of Surgery Practice Plan.

#### 2. Regularly Scheduled Faculty Meetings

Regularly scheduled faculty meetings shall be scheduled monthly and held at least quarterly. Any member may request an item to be placed on the agenda by submitting same to the Chair's office prior to the next scheduled meeting.

#### 3. Number needed to Request a Special Meeting

Special meetings may be called by the Department Chairperson or designee or upon call by 1/3 of the voting members, with written notice of the time and place of each meeting being sent to each member at his/her designated office prior to the meeting date.

#### 4. Quorum Necessary for Transaction of Business

Action taken at meetings shall require approval by a majority vote of faculty members present and voting.

#### 5. Presided over by Chairperson or Delegate

The Department Chairperson shall preside over all departmental faculty meetings, except as the Chairperson may delegate this function.

## **6. Minutes Available to Faculty**

Copies of departmental faculty meeting minutes shall be made available to all members of the faculty of the department.

## **7. Notification of Meetings**

Contact is made by phone, in writing, or by electronic mail providing the meeting place and time. The Chairperson establishes the agenda and distributes it to the membership before the meeting.

## **8. Voting Policy**

Each member holding full-time faculty appointments shall have one vote, and each member holding part-time faculty appointments shall have a fractional vote proportionate to his/her part-time appointment provided that they have been members of the Department for 12 months. Voting shall be by secret ballot whenever action to vote by such ballot is approved by a majority of those present and voting. Voting by proxy shall not be allowed at meetings, however, votes of members who are eligible to vote but are absent from a meeting shall be counted in votes taken upon questions which have been presented in written form sent to each member at his/her designated office at least 3 official working days prior to the date of the meeting, and further provided that the vote of the absent member(s) is presented in writing and signed by the member. Actions with respect to modification of the Department of Surgery Practice Plan will be in accordance with the Plan.

## **9. Conformity to Open Meeting Act**

The Department of Surgery complies with all rules and regulations relating to open meetings, open records, and archival requirements, according to University policy.

### **IV. COMMITTEES:**

Departmental Faculty Committees shall be established by the Department Chairperson as needed in consultation with the Division Chiefs or as required by the Department Practice Plan. All committees shall have an identified Chairperson appointed by the Department Chairperson. The Committee Chairperson and members shall serve for a period of time at the discretion of the Department Chairperson. The Department Chairperson may serve as an *ex officio* member. The Committee Chairperson shall determine meeting schedules after consultation with the Department Chair. Student and resident participation on committees may be suggested by the individual Committee Chairpersons with the approval of the Department Chairperson and the advice of committee members.

### **V. BUDGET PREPARATION:**

A budget proposal for the Department shall be prepared and established in accordance with the Department's Practice Plan and University policy. It shall be submitted in a form consistent with such format and specificity as established by the University.

Each of the divisions of surgery has its own budget in addition to the budget of the chairman's administrative offices. The Department's administrative offices prepare projections of revenue and expense for each divisional budget based on current fiscal year-to-date performance and expected changes. Each divisional draft budget is given to the respective Division Chief who modifies it in consultation with his/her faculty and staff. Along with the draft budget, the Department prepares individual analyses of

faculty compensation. The Division Chiefs may recommend modifications to the draft budget to the Chairperson, and they along with the Department Administrator, resolve issues to establish a budget proposal. The Chairperson meets with the Division Chiefs as a group to review and approve the Department budget proposals.

These budget proposals are then submitted to the Dean. After the budget is approved, letters and contracts are sent to individual faculty members stating his/her proposed salary for the next year. Faculty members may appeal their proposed compensation as described in the Department of Surgery Practice Plan.

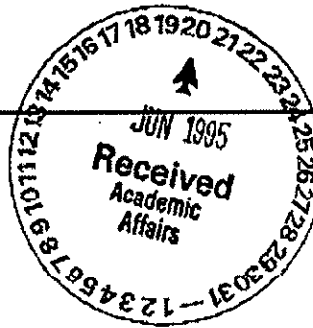
VI. OTHER:

**1. Establishing or Modifying Rules.**

Rules of Procedure for department faculty are superseded by governing and administrative regulations of the institution. Departmental rules are established by the Chairperson after consultation with Division Chiefs and input from the faculty. The Department of Surgery faculty has jurisdiction over matters concerning its internal educational policies, insofar as these do not conflict with those of other departments or with the rules of the University Senate or the faculty of the College of Medicine. Changes or amendments should be executed in accordance with the procedures described in Section III (8) Voting Policy. Changes of the internal educational policies can be made by a majority vote of the faculty present at a meeting called to address proposed changes.

**2. Copies of Rules to All Faculty.**

All Regulations and Rules of Procedures manuals are maintained in the Department Administrator's office and are available for review by all department faculty and staff and are available on the web.



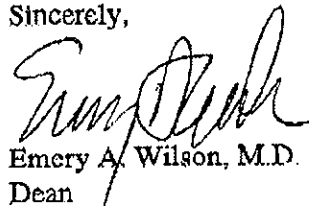
June 12, 1995

James W. Holsinger, M.D.  
Chancellor  
Medical Center  
University of Kentucky

Dear Dr. Holsinger:

I would appreciate your review and approval of the Department of Surgery's request that consultation with faculty members on matters related to decisions not to reappoint, "may be restricted to those associated with the concerned, previously-defined academic division or program area in the department" (Governing Regulation, page VII-11).

Sincerely,

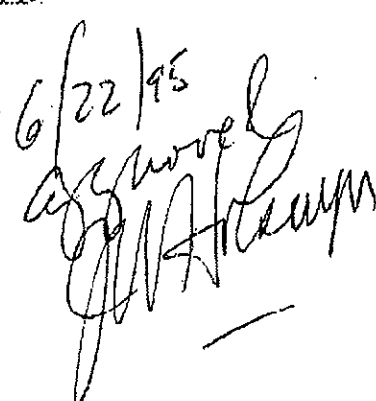
  
Emery A. Wilson, M.D.  
Dean

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Enclosures

cc: Byron Young, M.D.  
Christian N. Ramsey, M.D.

6/22/95  


Byron Young, M.D.  
Chairman's Office  
Department of Surgery  
800 Rose Street  
Lexington, Kentucky 40536-0084  
(606) 323-6013  
323-6011  
FAX (606) 323-1045

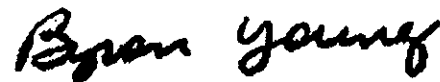
June 15, 1995

Emery Wilson, M.D.  
Dean  
College of Medicine

Dear Dean Wilson:

With the approval of the Department of Surgery faculty and in accordance with University Governing Regulation 1/21/92, page VII-11, I request your approval that consultation with faculty members on matters related to decisions not to reappoint "be restricted to those associated with the concerned, previously defined academic division or program area in the department."

Sincerely,



Byron Young, M.D.  
Johnston-Wright Chair of Surgery



programs, and service functions. The chairperson presides at all department meetings, except as the chairperson may delegate this function, and is an ex officio member of all department committees. The chairperson has administrative responsibility for implementing the department's program within the limits established by the regulations of the University, the policies of the University Senate, and the rules of the college and of any school of which it is a part.

The department chairperson is responsible for recommendations on the appointment of new members of the department, promotions, reappointments, terminal appointments, decisions not to reappoint, post-retirement appointments, and the granting of tenure. Procedures and criteria used in preparing recommendations shall be those established by the University, the college, and the department faculty. As a minimum, the procedures must include consultation with all tenured members of the department, with the directors of any multidisciplinary research centers or institutes with which the affected individuals are or will be associated, and with all full-time non-tenured faculty members (except those appointed in the research title series, Medical Center clinical title series, or visiting series) with the actual or equivalent rank of assistant professor or higher who have been members of the department for two years, except as noted below. Faculty members with appointments in the Medical Center clinical title 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 Medical Center 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 chairperson. 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 chancellor/vice president, consultation with faculty members may be restricted to those associated with the concerned, previously-defined academic division or program area in the department.

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

Byron Young, M.D.  
Chairman's Office  
Department of Surgery  
800 Rose Street  
Lexington, Kentucky 40536-0084  
(606) 323-6013  
323-6011  
FAX (606) 323-1045

June 12, 1995

James W. Holsinger Jr., M.D.  
Chancellor  
University of Kentucky  
Medical Center

Dear Dr. Holsinger:

In accordance with University Governing Regulation 1/21/92, page VII-11, I request your approval that consultation with faculty members on matters related to decisions not to reappoint "be restricted to those associated with the concerned, previously defined academic division or program area in the department." This issue will be discussed at a special meeting of the Surgery faculty on Wednesday, June 14, 1995.

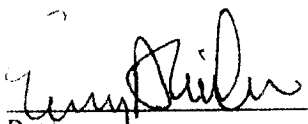
Sincerely,

*Byron Young*  
Byron Young, M.D.  
Johnston-Wright Chair of Surgery

6/13/95  
Approved  
*[Signature]*

*Signature Page*

These rules have been created and approved by the faculty of the College of Medicine, pursuant to the authority granted by the *Administrative and Governing Regulations* of the University of Kentucky. These rules are effective on the date when approved by the Dean and Provost as indicated by their signatures below. Any modifications to these rules must also be approved by the Dean and Provost before the modifications take effect. A current copy of the approved rules for the College of Medicine is available in the office of the educational unit chair/director (if applicable), the Dean of the College, and the Provost. A copy of these approved rules will be posted online at the University Senate website.

  
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Dean

September 2010  
\_\_\_\_\_  
Date

  
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Provost, University of Kentucky